

**Institutionalisation of Monitoring and Evaluation Systems in the Public Service:  
A Case Study of the Western Cape Education Department (WCED)**

By  
Pazuna Stofile

*Thesis presented in partial fulfilment of the requirements for the degree  
Masters in Public Administration in the faculty of Management Science  
at Stellenbosch University*



Supervisor: Prof Christo de Coning

March 2017

## DECLARATION

By submitting this thesis electronically, I declare that the entirety of the work contained therein is my own, original work, that I am the sole author thereof (safe to the extent explicitly otherwise stated), that reproduction and publication thereof by Stellenbosch University will not infringe any third party rights and that I have not previously in its entirety or in part submitted it for obtaining any qualification.

Signature: ..... Date: ..... March 2017.....

*Copyright © 2017 Stellenbosch University*

*All rights reserved*

## ABSTRACT

Public service delivery and project performance need sustainable monitoring to inform policy makers and beneficiaries of progress. This research study is motivated by a need for improved service delivery in the South African public service. Monitoring and Evaluation (M&E) systems are important mechanisms to assess service delivery programme implementation.

An in-depth study was undertaken, to assess institutionalisation of M&E system within the WCED. Government M & E systems' institutional requirements and arrangements were also studied and described as part of this study. The aim was to assess institutionalisation requirements for M & E systems within the public service using the WCED as a case study and to recommend an approach to improve the institutionalisation process.

The literature review conducted focussed on theoretical, conceptual and legislative frameworks as well as policy and policy frameworks relevant to M & E. A qualitative design was chosen for this study. The qualitative research design employed a case study to collect data (Babbie & Mouton, 2001: 280). The unit of study was the Western Cape Education Department (WCED) and a purposive sampling approach was chosen to target key informants from the M & E/Research unit of the WCED. Primary study data was sourced through a semi-structured research schedule/questionnaire. Content analysis of key M & E-relevant government documents was conducted to understand the case and study phenomena better.

The research found that institutionalisation comprised many elements including value systems, human resources, governance, training, intergovernmental relations and capacity requirements. The study found that there was no formal M & E unit within WCED and that there was a lack of well-trained M & E practitioners. It was further noted that intergovernmental relations were functional between the DBE and WCED and that mutual focus areas like educational outcomes monitoring existed. Governance was also noted as an area of strength as respondents reported regular meetings with parents and SGBs in addition to the regular reports issued on the performance progress of programme implementation.

Recommendations based on the findings were that the M & E Unit needed to be re-established and capacitated with skilled M & E officials. This unit should preferably report directly to the HoD who should take ownership of the M & E to ensure that the unit provides a transversal M & E function throughout the WCED. It was also recommended that all professionals working in the M & E area such as at schools, circuit and district levels should be trained in M & E. It was further recommended that improved intergovernmental relations and professional

partnerships should be established to collaborate in alleviating the current shortage of M &E human resources and skills.

The study concluded that although the process followed in establishing the WCED M & E system was not clear, strong incentives and support existed for a future M & E system and for the successful institutionalisation of an M & E system within the WCED.

## OPSOMMING

Openbare dienslewering en projekprestasie moet op 'n volhoubare wyse gemonitor word om beleidmakers en begunstigdes van vooruitgang in te lig. Hierdie navorsingstudie is gemotiveer vanuit 'n behoefte om dienslewering in die Suid-Afrikaanse openbare diens te verbeter. Monitoring en evalueringsisteme (M & E) is belangrike meganismes om die implementering van dienseweringsprogramme te assesser.

'n Diepgaande studie is onderneem om die institutionalisering van M & E sisteme binne die WKOD te assesser. Regerings M & E sisteme se institusionele vereistes en reëlins is ook bestudeer en as deel van hierdie studie beskryf. Die doel was om die institutionaliseringsbehoefte vir M & E sisteme binne die openbare diens te assesser deur die WKOD as gevallestudie te gebruik en om 'n benadering tot die verbetering van die institutionaliseringsproses aan te beveel.

Die literatuurstudie het gefokus op teoretiese, konseptuele en wetgewende raamwerke, sowel as beleid en beleidsraamwerke relevant tot M & E. 'n Kwalitatiewe ontwerp is vir die studie gekies. Die kwalitatiewe navorsingontwerp gebruik 'n gevallestudie om data in te samel (Babbie & Mouton, 2001: 280). Die studie-eenheid was die Wes-Kaapse Onderwysdepartement (WKOD) en 'n doelgerigte steekproefbenadering is gekies om kerninligting by informante aangaande die M & E navorsingseenheid by die WKOD te bekom. Primêre studiedata is deur middel van 'n semi gestruktureerde vraelys ingesamel. Inhoudsanalise van kern M & E regeringsdokumente is uitgevoer om die geval en die studie verskynsel beter te verstaan.

Die navorsing het gevind dat die institutionalisering uit baie elemente bestaan, insluitend waardesisteme, menslike hulpbronne, bestuur, opleiding, tussen-regeringsverhoudinge en kapasiteitsvereistes. Die studie het gevind dat daar geen formele M & E eenheid binne die WKOD bestaan nie en dat daar 'n gebrek aan opgeleide M & E praktisyne was. Daar is opgemerk dat tussen-regeringsverhoudinge funksioneel was tussen die DBO en die WKOD end at oorvleulende fokusareas soos onderriguitkomst vir monitoring bestaan het. Bestuur is ook gemerk as 'n sterk punt aangesien deelnemers gereelde vergaderings tussen ouers en Skool Beheerliggame gerapporteer het, sowel as gereelde verslaggewing van die vordering van programimplementeringsprestasie.

Aanbevelings is gebaseer op die volgende bevindinge: Dat die M & E Eenheid weer hervestig word met opgeleide M & E amptenare. Hierdie eenheid moet verkieslik direk aan die Hvd verslag doen wat eienaarskap van M & E moet neem om te verseker dat die eenheid 'n transversal M & E funksie binne die WKOD vervul. Verder word aanbeveel dat alle

professionele persone wat in M & E werksaam is soos skole, kringe en distriksvlakke, in M & E opgelei word. Daar word ook aanbeveel dat inter-regeringsverhoudinge verbeter word en dat professionele vennootskappe besluit word om saam te werk om die huidige tekort aan M & E menslike hulpbronne en vaardighede te verlig.

Hierdie studie sluit af met die gedagte dat alhoewel die proses om die WKOD M & E sisteem te vestig, onduidelik was, sterk aansporings en ondersteuning bestaan vir 'n toekomstige M & E sisteem en vir die suksesvolle institusionalisering van M & E sisteme binne die WKOD.

## **ACKNOWLEDGEMENTS**

I owe a debt of gratitude to the various people who contributed towards the accomplishment of this milestone in my growth journey: completing my thesis towards my Masters in Public Administration.

I firstly want to acknowledge my family and my wife, Vuyokazi, who held the fort and stood in for me with the family when I had to burn the midnight oil working on my studies over the past three years. Knowing sacrifices of family time makes this achievement particularly precious.

I acknowledge my supervisor, Professor Christo de Coning, who enriched my educational development by guiding me through the process of completing this thesis.

The teaching and support team at SPL supported and guided me to understand the early building blocks towards mastering research in ways that contributed to this achievement. I am thankful for their support.

The Western Cape Education Department generously provided me with an environment and setting within which to conduct my study. The cooperation of the WCED management and respondents during the data collection period was most helpful for the accomplishment of this study.

Lastly, the discussions and group sessions with my MPA students contributed towards good group learning experiences and exchange of insights.

I acknowledge you all as having influenced my life-changing development in ways I could not have imagined at the beginning of this journey.

## TABLE OF CONTENTS

|   |             |
|---|-------------|
| <b>Declaration.....</b>   | <b>i</b>    |
| <b>Abstract.....</b>  | <b>ii</b>   |
| <b>Opsomming.....</b>   | <b>iv</b>   |
| <b>Acknowledgements .....</b>   | <b>vi</b>   |
| <b>List of tables.....</b>  | <b>xi</b>   |
| <b>List of figures.....</b>   | <b>xii</b>  |
| <b>List of key terms and abbreviations .....</b>  | <b>xiii</b> |
| <b>Chapter 1: Overview and rationale of the study.....</b>  | <b>1</b>    |
| 1.1 Introduction and background .....   | 1           |
| 1.2 Motivation and rationale of study .....   | 1           |
| 1.3 Preliminary literature study: Theoretical and conceptual framework .....                              | 2           |
| 1.3.1 Concept clarification & Description of M&E.....   | 3           |
| 1.3.2 The significance of monitoring and evaluation .....   | 7           |
| 1.3.3 M & E process .....   | 7           |
| 1.3.4 Theory of change .....  | 10          |
| 1.3.5 Logic model .....   | 10          |
| 1.3.6 Institutionalisation.....   | 10          |
| 1.4 Preliminary policy and legislative framework underpinning M & E.....                                  | 12          |
| 1.5 Research problem and objectives .....   | 15          |
| 1.5.1 Research problem.....   | 15          |
| 1.5.2 Research objectives.....  | 15          |
| 1.5.3 Purpose of research .....   | 16          |
| 1.6 Research design and methods .....   | 16          |
| 1.6.1 Research design .....   | 16          |
| 1.6.2 Qualitative research methods .....  | 17          |
| 1.6.3 Qualitative data analysis .....   | 17          |
| 1.6.4 Overview of chapters .....  | 18          |
| 1.6.5 Chapter summary .....   | 18          |
| <b>Chapter 2: Overview of theoretical approach to M &amp; E institutionalisation and management .....</b> | <b>19</b>   |
| 2.1 Introduction .....  | 19          |
| 2.2 Purpose and rationale for literature review .....   | 19          |
| 2.3 background to monitoring and evaluation.....  | 19          |
| 2.3.1 The evolution of M & E from a development evaluation approach .....                                 | 20          |
| 2.4 Types of M & E.....   | 21          |



|                   |   |           |
|-------------------|---|-----------|
| 2.5               | Purpose of M & E.....   | 22        |
| 2.6               | Evaluation strategies .....   | 23        |
| 2.7               | M & E and related theoretical approaches .....                                      | 23        |
| 2.8               | Organisational and institutional theory .....                                       | 28        |
| 2.9               | Service delivery monitoring and evaluation approaches.....                          | 29        |
| 2.10              | M & E process to a results-based designed, built and sustained an M & E system..... | 34        |
| 2.10.1            | Step 1: Institutional situational assessment for systems success .....              | 35        |
| 2.10.2            | Step 2: Agreeing on outcomes to monitor and evaluate .....                          | 37        |
| 2.10.3            | Step 3: Selecting key indicators to monitor outcomes.....                           | 37        |
| 2.10.4            | Step 4: Baseline data on indicators — Where are we today? .....                     | 37        |
| 2.10.5            | Step 5: Planning for improvement — Selecting result targets.....                    | 39        |
| 2.10.6            | Step 6: Monitoring for results .....  | 40        |
| 2.10.7            | Step 7: The role of evaluations .....   | 41        |
| 2.10.8            | Step 8: Reporting findings .....  | 42        |
| 2.10.9            | Step 9: Using findings.....   | 42        |
| 2.10.10           | Step 10: Sustaining the M & E system within the institution .....                   | 43        |
| 2.11              | Institutionalisation of M & E systems .....   | 44        |
| 2.11.1            | Governance and participation .....  | 45        |
| 2.11.2            | Value system.....   | 47        |
| 2.11.3            | Structural arrangements .....   | 49        |
| 2.11.4            | Human resources.....  | 51        |
| 2.11.5            | Capacity building .....   | 52        |
| 2.11.6            | Professional leadership and management support .....                                | 54        |
| 2.12              | Conclusion .....  | 56        |
| 2.12.1            | A macro-level conceptual framework of M & E .....                                   | 57        |
| 2.12.1.1          | <i>Policy intent – strategy planning</i> .....                                      | 57        |
| 2.12.1.2          | <i>Programme implementation</i> .....   | 57        |
| 2.12.1.3          | <i>Monitoring and evaluation</i> .....  | 58        |
| 2.12.2            | Description of institutionalisation.....  | 58        |
| 2.12.3            | Key elements of an M & E system .....   | 58        |
| 2.13              | Chapter summary.....  | 59        |
| <b>Chapter 3:</b> | <b>Overview of M &amp; E policy and legislative frameworks .....</b>                | <b>61</b> |
| 3.1               | Introduction .....  | 61        |
| 3.2               | The constitution of South Africa, 1996 (Act 108 of 1996) .....                      | 61        |

|                   |  |           |
|-------------------|--|-----------|
| 3.3               | The White Paper on Transforming Public Service Delivery (Batho Pele White Paper), 1997 ..... | 62        |
| 3.4               | Government-wide monitoring and evaluation system .....                                       | 64        |
| 3.5               | Framework for managing programme performance information .....                               | 69        |
| 3.6               | The South African Statistical Quality Assessment Framework (SASQAF) of 2010.....             | 73        |
| 3                 |  |           |
| 3.7               | National Evaluation Policy Framework (NEPF) of 2011 .....                                    | 75        |
| 3.7.1             | Evaluation approaches .....  | 76        |
| 3.7.1.1           | <i>Approach to types of evaluation</i> .....   | 76        |
| 3.7.1.2           | <i>Process approach</i> .....  | 76        |
| 3.7.1.3           | <i>Institutionalisation approach</i> .....   | 77        |
| 3.7.1.4           | <i>Management and coordination approach to M &amp; E</i> .....                               | 78        |
| 3.8               | International best practices for South Africa.....   | 79        |
| 3.9               | Conclusion.....  | 81        |
| 3.10              | Emerging themes .....  | 82        |
| <b>Chapter 4:</b> | <b>Research design and methodology .....</b>   | <b>83</b> |
| 4.1               | Introduction .....   | 83        |
| 4.2               | Approach .....   | 84        |
| 4.3               | Overview of research design .....  | 84        |
| 4.4               | Research design.....   | 85        |
| 4.4.1             | Data Gathering methods .....   | 86        |
| 4.4.1.1           | <i>Sampling</i> .....  | 86        |
| 4.4.1.2           | <i>Document analysis</i> .....   | 86        |
| 4.4.1.3           | <i>Key informant Interviews</i> .....  | 87        |
| 4.4.1.4           | <i>Literature analysis and legislative frameworks:</i> .....                                 | 87        |
| 4.4.2             | Questions.....   | 87        |
| 4.4.3             | Data analysis .....  | 87        |
| <b>Chapter 5:</b> | <b>Case study results of the Western Cape Education Department (WCED).....</b>               | <b>89</b> |
| 5.1               | Introduction .....   | 89        |
| 5.2               | Background to WCED case study .....  | 89        |
| 5.3               | Legislative and policy mandate .....   | 90        |
| 5.4               | Strategic overview (vision, values, mission and goals) .....                                 | 91        |
| 5.4.1             | Strategic goal and outcomes .....  | 91        |
| 5.4.2             | The strategic outcomes .....   | 92        |
| 5.5               | Structural arrangements.....   | 92        |

|                   |  |            |
|-------------------|--|------------|
| 5.6               | Key results.....   | 93         |
| 5.6.1             | Establishment of an M & E system.....                            | 95         |
| 5.6.2             | Monitoring and evaluation process.....                           | 98         |
| 5.6.3             | Institutional arrangements for M & E.....                        | 101        |
| 5.6.3.1           | <i>Governance arrangements</i> .....                             | 101        |
| 5.6.3.2           | <i>Values and principles system</i> .....                        | 102        |
| 5.6.3.3           | <i>Capacity Building</i> .....                                   | 103        |
| 5.6.3.4           | <i>Structure</i> .....   | 104        |
| 5.6.3.5           | <i>Human resources</i> .....                                     | 104        |
| 5.7               | SuMMARY.....   | 105        |
| <b>Chapter 6:</b> | <b>Case study research findings.....</b>                         | <b>107</b> |
| 6.1               | Introduction.....  | 107        |
| 6.2               | Background.....  | 107        |
| 6.3               | Case Study Findings.....   | 107        |
| 6.3.1             | Theme 1: Establishment of an M&E System.....                     | 108        |
| 6.3.2             | Theme 2: Process Arrangements in Establishing M & E systems..... | 109        |
| 6.3.3             | Theme 3: Institutional Arrangements of M & E systems.....        | 110        |
| 6.3.3.1           | <i>Governance and participation</i> .....                        | 111        |
| 6.3.3.2           | <i>Values and principle system</i> .....                         | 112        |
| 6.3.3.3           | <i>Structural arrangements</i> .....                             | 113        |
| 6.3.3.4           | <i>Intergovernmental arrangements</i> .....                      | 113        |
| 6.3.3.5           | <i>Human resources management</i> .....                          | 113        |
| 6.3.3.6           | <i>Capacity building and training and development</i> .....      | 114        |
| 6.3.3.7           | <i>Professional support</i> .....                                | 115        |
| 6.4               | Conclusion.....  | 115        |
| <b>Chapter 7:</b> | <b>Conclusion and recommendations.....</b>                       | <b>116</b> |
| 7.1               | Introduction.....  | 116        |
| 7.2               | Establishment arrangements for an M & E system.....              | 116        |
| 7.3               | M & E process arrangements.....                                  | 118        |
| 7.4               | Institutional arrangements for an M & E system.....              | 119        |
| 7.4.1             | Values and principle system.....                                 | 120        |
| 7.4.2             | Governance and participation.....                                | 120        |
| 7.4.3             | Organisational and institutional arrangements.....               | 120        |
| 7.4.4             | Intergovernmental Relationship arrangements.....                 | 121        |
| 7.4.5             | Human resources management.....                                  | 121        |
| 7.4.6             | Capacity building, training and development.....                 | 121        |

|                        |                                   |            |
|------------------------|-----------------------------------|------------|
| 7.4.7                  | Professional support.....         | 122        |
| 7.4.8                  | Possible value of this study..... | 122        |
| 7.5                    | Conclusion.....                   | 123        |
| <b>References.....</b> |                                   | <b>125</b> |

## LIST OF TABLES

|            |   |    |
|------------|---|----|
| Table 2.1: | Template for building of information .....                                | 39 |
| Table 2.2: | Data collection methods .....   | 39 |
| Table 2.3: | Types of foci of results-based monitoring .....                           | 40 |
| Table 2.4: | Example of a project M & E sheet.....                                     | 41 |
| Table 3.1: | Quality indicators, standards and benchmarks .....                        | 73 |
| Table 4.1: | Advantages and limitations of qualitative and quantitative research ..... | 84 |

## LIST OF FIGURES

|  |    |
|--|----|
| Figure 2.1: M & E and capacity building .....  | 23 |
| Figure 2.2: Ten steps to designing, building and sustaining a results-based M & E system ..... | 35 |
| Figure 2.4: A three-step high-level M & E conceptual framework .....                           | 57 |
| Figure 3.1: The three data terrains of the GWM & ES policy framework .....                     | 67 |
| Figure 3.2: GWM & ES outcome process flow .....  | 68 |
| Figure 3.3: Components of the GWM & E System .....   | 70 |
| Figure 3.4: Depiction of performance information concepts and M & E indicator levels .....     | 72 |
| Figure 5.1: Respondents by gender.....   | 93 |
| Figure 5.2: Respondents by race .....  | 94 |
| Figure 5.3: Participation by functional area.....  | 94 |
| Figure 5.4: Participation by age range .....   | 95 |

## LIST OF KEY TERMS AND ABBREVIATIONS

|          |  |
|----------|--|
| AG       | Auditor-General  |
| APP      | Annual Performance Plan                                |
| CBO's    | Community-Based Organisations                          |
| DBE      | Department of Basic Education                          |
| DDG      | Deputy Director-General                                |
| DG       | Director- General                                      |
| DotP     | Department of the Premier                              |
| DPME     | Department of Planning Monitoring and Evaluation       |
| DPSA     | Department of Public Service and Administration        |
| FSDM     | frontline service delivery monitoring                  |
| GWM & EF | Government-wide Monitoring and Evaluation Framework    |
| GWM & ES | Government-wide Monitoring and Evaluation System       |
| HOD      | Head of Department                                     |
| IDP's    | Integrated Development Plans                           |
| M & E    | Monitoring and Evaluation                              |
| MEC      | Member of Executive Council                            |
| MPAT     | Management Performance Assessment Tool                 |
| MTEF     | Medium Term Expenditure Framework                      |
| NEPF     | National Evaluation Policy Framework                   |
| NGO's    | Non-Governmental Organisations                         |
| NDP      | National Development Plan                              |
| NPC      | National Planning Commission                           |
| NSG      | National School of Government                          |
| OECD     | Organisation for Economic Co-operation and Development |
| OPSC     | Office of the Public Service Commission                |
| RBM      | Results-Based Monitoring                               |
| SAMEA    | South African Monitoring and Evaluation Association    |
| SGB's    | School Governing Bodies                                |
| UNDP     | United Nations Development Programme                   |
| WCED     | Western Cape Education Department                      |
| WPTPS    | White Paper on Transforming Public Service Delivery    |

# **CHAPTER 1:**

## **OVERVIEW AND RATIONALE OF THE STUDY**

### **1.1 INTRODUCTION AND BACKGROUND**

Service delivery performance appears to be a challenge in the public service of developing countries. South Africa is not spared from this reality as evidenced from the South African National Development Plan (NDP) diagnostic report where education was highlighted as one of the priority development areas (National Planning Commission, 2012). The National Planning Commission (NPC) further put forward a plan to address a series of developmental programmes, including key service delivery areas such as education. Preliminary literature indicated that the design, building and institutionalisation of a monitoring and evaluation (M & E) system may contribute towards the attainment of developmental service delivery programme goals. This study assessed institutionalisation by looking into the requirements of M & E system processes as well as the requirements to institutionalise an M & E system. This study followed a qualitative approach using a case study method to assess the Western Cape Education Department (WCED) against the Kusek and Rist model as a good practice model of M&E system processes and institutionalisation. This model was formulated from a best practice studies extracted from the literature review, legislative guidelines and other sources. Study data was sourced from various staff members within the WCED and Department of the Premier (DotP) staff through interviews using the qualitative research approach and designs and methodologies. These designs and methodologies were discussed in detail in chapter four of this study. Qualitative data analysis was conducted to understand the current realities around systems institutionalisation and to make improvement recommendations.

### **1.2 MOTIVATION AND RATIONALE OF STUDY**

This study is motivated by the fact that the South African Government has identified a number of priorities towards the improvement of service delivery as part of the National Development Plan (NDP) of 2011 (National Planning Commission, 2011). The Western Cape Government (WCG) has prioritised five strategic goals towards the achievement of the NDP goals. These goals are meant to (i) create opportunities for growth, (ii) improve education outcomes, (iii) increase wellness, safety and tackle

social ills, (iv) build a quality living environment, and (v) ensure good governance and integrated service delivery and spatial alignment (Western Cape Government, 2015: 19). Sivagnanasothy (2007) in Hlatshwayo and Govender (2015:93) noted that M&E institutionalisation assists organisational policy, objectives, and planning. The researcher was interested to understand the institutionalisation M & E systems in general and within the WCED in particular.

The rationale for selecting the WCED was further based on the fact that the education sector features in the top five prioritised sectors for improvement in the NDP (National Planning Commission, 2011:7). Furthermore, the Western Cape Education Department is also one of the departments that have been monitored over the past three years by the Department of Planning Monitoring and Evaluation. M & E information is periodically provided to the WCED for utilisation in service delivery improvement systems. Various provincial departments remain challenged to implement the Government-wide Monitoring and Evaluation Framework (GWM & EF) guidelines in embedding monitoring and evaluation (M & E) systems in their respective spaces (Mtshali, 2014:1).

Mackay (2007: 23) stated that “successful institutionalization of M & E involves the creation of a sustainable, a well-functioning M & E system within a government, where good quality M & E information is used intensively”. This information is likely to go to waste if not properly planned, captured and processed using an embedded system and processes to influence increased performance within the public service departments. An assessment for the institutionalisation and management of an M & E system was conducted to provide the WCED with options to improve their service delivery monitoring mechanism.

### **1.3 PRELIMINARY LITERATURE STUDY: THEORETICAL AND CONCEPTUAL FRAMEWORK**

This section took a preliminary view of the past and current theories as well as legislative frameworks on the institutionalisation of M & E systems to ground this study. A preliminary literature review was done to assess the availability of literature material on the topic. This assessment looked at background of the M & E discipline, concepts and definitions, purpose, types, systems process of designing and management



and the institutionalisation of M & E systems. The preliminary literature review and legislative review highlighted sufficient material to conduct this study.

### **1.3.1 Concept clarification & Description of M&E**

The researcher deemed concept clarity necessary and important to understand the context of the study. For this reason, some M & E and related concepts were described and briefly discussed.

Mackay (2007:7) and other authors note that the M & E concept is viewed differently by different people. The Public Service Commission (PSC) (2008:3) describes monitoring as a fluid oversight process of gathering data on a specific intervention with the view to inform decision making by management. Evaluation on the other hand is described as an assessment of the value of the intervention at a particular point in time. From the PSC's perspectives both monitoring and evaluation are two elements of a system. Kusek and Rist (2004: 12) concurred with this definition of monitoring and noted the systematic nature of data collection methods related to the key selected indicators for monitoring.

Reflecting on the above description of M & E, it can be argued that monitoring can be done by other stakeholders beyond management as staff and community members may want to monitor the activities of the service delivery programme that affects them directly on a continuous basis. The key differentiator, though, seems to be continuous feedback as opposed to periodic feedback. It is, however, clear that the two concepts are different.

As was the case with the PSC description of M&E, Morra-Imas and Rist (2009:108) differentiated between traditional M & E and results-based M & E. They claimed that the traditional M & E focussed at the input, activities and output levels of the programme implementation, whereas the results-based M & E focusses on assessing the end product of the process at the outcome and impact level, thereby fusing the two approaches.

It is clear from this view that both approaches are part of the same value chain of assisting with the improvement of programme performance. It is also clear from this differentiation that the traditional emphasis is on the results as opposed to the process itself. Morra Imas and Rist further hold that Kusek and Rist's theory of change, which

consists of elements such as inputs, outputs, outcomes and impacts, can be regarded as the link between traditional and results-based monitoring and evaluation.

Kusek and Rist (2004: 12) concurred with the definition of monitoring mentioned above and noted the systematic nature of data collection methods related to the key selected indicators for monitoring.

Evaluation on the other hand is described as an episodic process that systematically assesses the value of an intervention at each end stage focussing on knowledge and learning at the outcome level and beyond (United Nations Development Programme (UNDP), 2002: 6). Although often mentioned in one breath as though it is a single concept, M & E are two different but complementary concepts. The Presidency (2011: iv), for its part, defines evaluation as:

*the systematic collection and objective analysis of evidence on public policies, programmes, projects, functions and organisations to assess issues such as relevance, performance (effectiveness and efficiency), value for money, impact and sustainability and recommend ways forward.*

Morra Imas and Rist (2009: 9) defined evaluation as process of assessing the value of policy, programme or project. They further hold that an evaluation can either be viewed as a prospective evaluation where previous relevant evaluations are used to assess the successful prospects of the envisaged policies, programmes or projects before the commencement; formative evaluation where the evaluation is applied during the policy, programme or project implementation process with the view of improving performance; and summative evaluation where it is conducted at the outcome or impact level upon completion of the intervention so as to determine the merit, worth or value of the intervention in its entirety.

A monitoring and evaluation system is defined as:

*...a set of organisational structures, management processes, standards, strategies, plans, indicators, information systems, reporting lines and accountability relationships, which enables national and provincial departments, municipalities and other institutions to discharge their M & E functions effectively* (The Presidency, 2007: 4).

It is clear from the above description that a monitoring and evaluation system forms of key institutional arrangements. Mackay (2007: 23) goes further and views the institutionalisation of M & E as one of the key characteristics describing successful M & E systems. Put differently, an M & E system cannot be regarded as successful until such time as it has been institutionalised. Mackay further described his measures of success as utilisation of M & E information, good quality M & E information and the sustainability of the system.

**A programme:** A programme is defined as “an intervention that includes various activities or projects that are intended to contribute to a common goal” (Kusek & Rist, 2004: 14).

**Programme theory:** Rossi, Freeman and Lipsey (2004: 78) describes programme theory as the outlook where organisational programmes use policies, processes, structures and people to deliver expected outcomes to social beneficiaries. They further define programme process theory as referring to the “how” of operationalising the organisational policies and strategies to service utilisation plans, emphasising implementation of the programme.

**Programme evaluation:** Programme evaluation is described a process of applying social procedures to systematically investigate the effectiveness of social intervention programmes (Rossi *et al.* 2004: 4)

**Assessment of programme process:** Rossi *et al.* (2004: 36) described programme assessment as an “evaluative study that answers questions about programme operation, implementation, and service delivery”.

**Programme monitoring:** Programme monitoring (formatively) also called implementation assessment or process evaluation (summatively) is described as a process of evaluating programme process with respect to activities and operations of the programme (Rossi *et al.* 2004: 67).

**Social research methods:** Social research methods are approaches taken by social scientists to investigate social behaviours systematically following a number of relevant observations (Rossi *et al.* 2004:29)

Needs assessment: Needs assessments refers to that part of the M&E system that seeks to establish the value-add of both the programme as well as the social phenomenon that the programme seeks to address (Rossi *et al.*, 2004: 118).

Frontline: For the purposes of this study, the frontline can be seen as the “space” or situation where the service user meets the service beneficiary or customer/client. The concept of customer, citizen and clients will be used interchangeably.

Ponsignon, Smart and Maull (2007: 3–5) attempted to look at the concept of service from three different perspectives and classification. In the first place they looked at service as an industry consisting of various sectors that delivers non-manufactured goods. The second perspective was that of viewing service as an outcome “what a customer receives” defined by features such as intangibility among others. Connecting service delivery to M&E elements, Lovelock and Wirtz (in Ponsignon *et al.* (2007: 7) viewed the concept of service as referring to the outcome that the customer receives”. This study borrowed from some of the concepts flowing from this framework as the researcher deems elements of it to be relevant in the assessment of the establishment and management of programme institutionalisation in frontline service delivery monitoring.

Viewing the process theory as being at the same level as strategy and organisation theory, Fowler (2003) in Ponsignon *et al.* (2007: 7) saw process as an area to be taken into account in the discourse of developing service delivery systems. What seems to be coming through from the above discussion is that the process is central to service delivery.

The preceding assessment of the concept of service highlights a number of implications for this study. In the first place it becomes clear that since a service is viewed as a process it can be both tangible and intangible. A number of theories or perspectives such as process theory and systems theory seem to be involved in the process of rendering services.

Service delivery: Service delivery is defined as the provision of public services, goods and other benefits (Fox & Meyer, 1995: 118). These services and goods are provided in response to the public demands and basic needs. The developmental orientation of the state (Public Service Commission (PSC), 2008: 8), as provided for by section

195(1)(c), has meant that service delivery provision has had to be provided to a wider pool of people than was the case, resulting in possible strains on the public institutions charged with the provision of service delivery. The monitoring and evaluation of the quantity and quality of these services were identified as a necessity by government from 2007 onwards.

**Sustainability:** Sustainability refers to the system's robustness to survive internal and external environmental, political, financial as well as human and technical capacity constraints over its lifespan (Morra Imas, 2009: 30). The definition should not be seen as exhaustive but merely a summary of that which are deemed important for clarity at this stage.

What became clear from the above discussion of various definitions and elements of M&E and related concepts was the interconnectedness of the concepts of M&E system. Whilst the definitions and clarifications of terms provided above are not exhaustive, the researcher was confident that these clarifications laid a base for contextualising M&E within the study.

### **1.3.2 The significance of monitoring and evaluation**

Kusek and Rist (2004:69) held that M & E is key in informing the “politician, minister and organisational leadership on what they can realistically promise to accomplish”. They further indicated that M & E is important to stakeholders as they will be in a position to hold management accountable for the progress and results gained in implementing service delivery. Mackay (2007:10) agreed and pointed to specific M & E value in respect of “evidence-based policy making, evidence-based management, and evidence-based accountability”. It is apparent from the above discussion that M & E is necessary in informing stakeholders of the progress of programme performance so as to make appropriate decisions on future courses and processes.

### **1.3.3 M & E process**

There seems to be a general agreement among M & E writers and experts on the process followed in designing and building M & E systems into evidence-based mechanisms (Kusek and Rist, 2004: 23). They further indicated that, although various views are expressed on the number of steps involved in the process, the key activities of this process of M & E systems consist of:

- formulating outcomes and goals;
- selecting outcome indicators to monitor;
- gathering baseline information on the current conditions;
- setting specific targets to reach and agreeing on dates for reaching them;
- regularly collecting data to assess whether the targets are being met; and
- analysing and reporting the results.

Holzer (1999: 56) and United Way of America (1996) in Cloete, Rabie and De Coning (2014: 288) proposed two systems deemed to be well designed, namely the seven-step process developed by the National Centre for Public Productivity at Rutgers University Campus at Newark, and the eight-step process proposed by United Way of America. These steps seem to have inspired further M & E system developments, as noted by De Coning and Rabie (2014: 288), where they refer to Kusek and Rist's "*Ten Steps to A Results-Based Monitoring and Evaluation System*", which contains the process steps of the systems referred to above.

Kusek and Rist's (2004: 25) proposed a ten-step model of designing, building, and sustaining a results-based monitoring and evaluation system, which consists of a (1). readiness assessment of M & E systems environment, (2) M & E outcomes agreement, (3) indicator selection for outcome monitoring, (4) baseline data determination and (5) improvement planning and target selection. The aforementioned process steps (De Coning, 2015: class notes) are viewed as the steps making up the M & E system framework. The additional steps are (6) monitoring for results, (7) evaluation role clarification, (8) reporting of evaluation findings, (9) utilisation of findings and (10) sustaining the M & E system within the institution.

Mackay (2007: 17) warned that countries are motivated by different things to embark on designing M & E systems and that each country should approach the M & E system development according to their own specific set of requirements. Mackay (2007: 54), also noted that governments seem to be developing M & E systems so as to have evidence based on elements that includes policies, budgeting, planning, programmes, projects, management and operational process as well as information for maintenance of accountability relationships. Mackay further indicated that public sector reforms are a key pressure for M & E systems in government, signalling a need for a well-

considered set of design, building and institutional arrangements for a sustained M&E systems.

Mackay further noted key elements of lessons learnt from the M & E systems implementation in countries like Australia, Chile, Colombia, Chile and United States, Australia as:

- High utilisation of M&E system data to influence policy making; financial planning, programme and project planning, development and management; and for accountable information provision to stakeholders;
- Good quality M & E information, which can serve as incentive for users to increase their utilisation of the system.
- Sustainability fuelled by the high utility, which is driven by the good quality of the system inputs, outputs, outcomes and impact (Mackay, 2007: 24)

Hatry (2012: 63–67) took a government departmental service delivery approach to the process of designing and implementing M & E systems. His process consisted of fourteen steps – pointing out that the success factors for a departmental level M & E system includes four elements, namely

- top leadership champion empowered to provide all capacity including time, people, financial and material resources to kick-start the process,
- sufficient capacity to conduct data collection towards constructing the baseline,
- willingness by government staff to use system-generated data and
- flexibility within the department to make necessary changes to make the system work.

Hatry further warned that these are minimum requirements without which the M & E process will simply not deliver the desired results. Finally, Hatry cautioned against M & E systems being used for blaming as this could be seen as some sort of a disincentive.

What emerged from the above assessment is that the process of designing M & E systems is methodological and not as linear as it may look. Various interactions are necessary to ensure participation in the process of building M & E systems (De Coning & Rabie, 2014: 297).

It is clear from the above inputs that the uptake and utilisation or demand of M & E systems depends on the quality of data. Continuous utilisation of data is important to keep the system alive and to improve its operation and value to stakeholders. It is also clear that countries are differently motivated to employ M & E systems and that only those that see value make an effort to use the systems intensively learn and benefit from them. The process of developing and having the M & E system is not enough as this system needs to be entrenched into and embraced by the institution in order for such a system to be viewed as successful.

#### **1.3.4 Theory of change**

Kusek and Rist (2004) see Theory of Change (ToC) as a way of plotting required intervention steps towards results achievement. Morra Imas and Rist (2009:151) agreed when they described the concept of change as a chronological process plan leading to the attainment of “long-term goals of social oriented change initiatives. From the above discussion, there seems to be no divergent views on what ToC is about and what it is meant to do. This brief discussion of the ToC is relevant in the context of the following discussion of logic model in the context of M&E systems.

#### **1.3.5 Logic model**

The logic model is described as a model that demonstrates the process leading from the organisational programme inputs through to activities, outputs, outcomes and impact (W.K. Kellogg Foundation, 2004: 1). Binnendijk (2000) in Kusek and Rist (2004:18) describes the key elements of the logic model as results and implementation. Kusek and Rist further notes that the results part focuses on institutional goals and outcomes while the implementation part is concerned with outputs, activities and inputs. Frechtling (2007:1) described the logic model as “a tool to the theory of change”. Morra Imas and Rist (2009:223) indicated the usefulness of the logic model formulating questions. Morra-Imas and Rist cited the need for performance assessment questions to link the desired outcome assumption to the actual accomplishment of the goal(s). The logic model theory supports the theory of change assessed above in that both theories advocate the importance of focusing on M & E results.

#### **1.3.6 Institutionalisation**

Institutionalisation is described as an organisational development and growth process that results in organisational policies, governances, values, processes, structures and



practices being intertwined with its culture and environment (De Coning & Rabie, 2014: 250). Batley and Larbi (2004: 35) added that the changing role of government introduced a “new institutionalism” approach, which was an attempt to provide a normative guide on the establishment of organisational systems for the broader good as opposed to serve narrow individual pursuits. Kusek and Rist (2004: 151) added that sustainability (step 10) and utilisation (step 9) were interdependent as sustainability depended on utilisation. Mackay (2007: 24) added that sustainability of an M & E system is not possible unless it is entrenched or institutionalised in the organisational culture of policy, strategy, structure people, programme/project and budget planning cycles and practices. Finally, Mackay (2007: 23) described successful institutionalisation as revolving around good quality M & E data that is highly utilised through usage of organisational incentives to sustain the system through various political, capacity and environmental hurdles.

Mackay (2007: 24) warned that not even Chile, Colombia and Australia who have been assessed to exhibit best practices in developing M & E systems, can claim to have succeeded in having designed processes that have yielded successful institutionalisation and sustainable M & E system.

It is clear that the three critical success factors for a successful M & E system proposed by Mackay are not sufficient for the successful institutionalisation and sustainability of M & E systems. De Coning and Rabie (2014: 253) pointed out that additional considerations may be necessary to support institutionalisation and sustaining arrangements may be necessary. They proposed these additional considerations to include institutional arrangements for the establishment of M & E:

- institutional readiness with specific emphasis on leadership and management;
- M & E policy and guidelines containing leadership commitment and intent for the system, strong leadership understanding;
- support and commitment demonstrated in word and deed including releasing necessary resources and entering into agreements with VOLPs and other stakeholders;
- buy-in and support from managers at the macro, middle and micro levels of the organisation;
- a transversal progressive evaluation culture;

- organisational arrangements and system arrangements where the M & E unit is mandated, empowered, and structured to ensure permeation of information to and from the relevant institutional levels;
- M & E role clarity;
- the M & E unit's human resources arrangements including capacity arrangements like M & E technical and expertise skills;
- capacity building and development;
- strong intergovernmental relations ensuring support and accountability to other spheres of government; and
- governance that relates to how the government M & E system interacts with interested civil society representatives and systems beyond accountability but also on cooperative levels.

It is clear from the preliminary literature review that the study of M & E is expanding and becoming more complex, requiring more studies to explain and inform decisions on how to deal with the complexities and to understand the various M & E elements better. It was, however, found that sufficient literature exists to conduct this study. A detailed literature review can be found in Chapter two.

#### **1.4 PRELIMINARY POLICY AND LEGISLATIVE FRAMEWORK UNDERPINNING M & E**

This section provides a preliminary overview of available policy and legislative principles guiding M & E at the national and provincial level. Government public administrative mandates are derived from legal and policy mandates, which are translated into service delivery programmes and projects. M & E is important in tracking the programme and project implementation performance throughout and to periodically evaluate value added by these initiatives.

The Constitution of the South African Government serves as a key legal and policy framework that guides M & E throughout the country. The Cabinet approved initiatives towards the establishment of a government evaluation system in 2004 whereupon the DPME developed the Government-wide Monitoring and Evaluation Policy Framework (GWM & ES) (The Presidency, 2007: 12). Key frameworks feeding into and from the Government-wide Monitoring and Evaluation System (GWM & ES) were found in the form of the Policy Evaluation Framework, Statistics and Survey Framework and lastly

the Framework for Managing Programme Performance Information. GWM & ES is therefore an existing government system with three data terrains as indicated above (The Presidency, 2007: 11)

The preliminary scan revealed that in addition to the Constitution and the GWM & ES, there are other M & E-related frameworks like the Framework for Managing Performance Information, National Evaluation Policy, South African Quality Assessment Framework (SASQAF), Framework for Managing Performance Information, which highlights the importance of management capacity emphasising that “accounting officers of the various institutions must ensure capacity to integrate and manage performance information with existing management systems. All these frameworks are designed to give effect to the constitution and monitor programme and project performance implementation and periodically evaluate value for money at predetermined stages for accountability, knowledge and decision making purposes.

The GWM & ES therefore seeks to coordinate a system of improving M & E processes and practices and to assist in the institutionalisation of M & E systems focussing on capacity, governance, and institutional arrangement as some of the key determinants of a sustainable system.

In her study of international country-led M & E systems, which included Australia, Chile, Colombia, Mexico, the United Kingdom and the United States of America, Rabie (2010: 3) noted that the approach taken to policy legislation frameworks of M & E ranges from formal policies and frameworks to more informal approaches. The informal approach may allow some flexibility for managers to find creative ways of implementing M & E systems on the ground.

It is clear that policy frameworks grounding the institutionalisation of M & E seem to be in place at the national or central level through the GWM & ES and related systems. Implementation is relatively recent and, therefore it may be too early to judge the value of these policies. Considered together with the theoretical review information, it seems as if enough information exists in the field of M & E to continue the study. The preliminary information also indicates some preferred or M & E-aligned designs and methodologies. These preliminary messages were taken into account in designing the research as indicated below.

It is clear from the literature review and the overview of policy frameworks that the journey leading to a results-based monitoring and evaluation system is not a shortcut, but requires rigorous processes, institutionalisation to ensure sustainability of M & E systems. This review revealed that various approaches existed in choosing the steps in the M & E process of establishing and managing M & E systems. After reviewing Kusek and Rist's "Ten steps to a result-based monitoring and evaluation system", it becomes clear that the process of establishing an M & E system needs to be based on current reality whilst focussing on long-term results. The readiness assessment coupled with and including the consultation stages in coming up with the M & E framework presented in steps 1 to 5 clearly presents an opportunity to understand the current capacity, governance, institutional arrangements, policies and practices of the environment within which institutionalisation of the system. It also emerged that for successful institutionalisation to take place, utilisation of the system had to be high enough so as to generate sufficient data that can be monitored and evaluated for its value added to the organisation and broader institutions. The role of incentives was raised in the literature as key in stimulating demand and utilisation. Capacity in leadership, policy, governance, financial, human resources, positioning, and community networks included some of the suggested approaches to insuring successful institutionalisation of an M & E system. Whilst a proper M & E process and framework was noted as an important base for the institutionalisation of an M & E system, both the process and the institutionalisation was cited as part of the prerequisites for the sustainability of the M & E system. It was argued that in the government sphere in particular, turn-over among M & E system champions may come and go but systems need to be robust enough to outlast these variations. Various theorists seem to have argued and agreed that even the countries cited as being in the good and best practice zone of M & E systems, have not arrived at a point where they can claim to have designed and established, and institutionalised successful M & E systems.

The next section looks at what the study research problem is, as presented by the literature reviewed and how this problem can best be studied to understand this phenomenon better.

## 1.5 RESEARCH PROBLEM AND OBJECTIVES

This section outlines the research problem as informed by the literature and policy reviewed in the preceding sections. What emerged from the above discussion of literature and legislative review indicated that M & E processes and institutionalisation are key requirements for a successful M & E system.

### 1.5.1 Research problem

The identified research problem in this study revolved around the assessment of institutionalisation of an M & E system within the public service with a specific focus on the WCED. According to the Public Service Commission (PSC) (2012: 15), frameworks for implementing M & E system mechanisms like the Frontline Service Delivery Monitoring (FSDM) programme exist, but the institutionalisation of these M & E systems within the public service remains a challenge. Research problems like this are commonly classified as qualitative types of studies (Mouton, 2001: 161).

A thorough assessment was undertaken to understand the extent of institutionalisation of an M & E system in the public service by using the WCED as a case study. The Western Cape Education Department (WCED) was chosen as case study due to this department being viewed as one of two main and complex frontline service delivery nodes locally.

### 1.5.2 Research objectives

The main objective of this study was to describe the institutionalisation of an M & E system within the WCED using the M & E building and institutionalisation theory and best practices. Kusek and Rists's "*Ten Steps to a Results-based Monitoring and Evaluation Systems Model*" was used as a key part of the assessment framework. Against this backdrop, the specific objectives of this study were to:

- describe the establishment requirements of an M&E system in WCED
- assess the process of establishing an M&E system in WCED against recommended relevant models
- evaluate the institutionalisation of an M&E system within the WCED
- To present the results of the study and recommendations based on the findings of the study.

In addition to the preliminary review and problem statement, the objectives discussed above assisted with the identification of the purpose and design of the research. The purpose of the research also focus on answering the question that was indicated earlier in this section.

### **1.5.3 Purpose of research**

The researched objectives outlined above were pursued within the context of the purpose of this research. A distinction is made between three common purposes of research namely, explorative, descriptive and explanatory (Babbie & Mouton, 2001: 79-81). The terms used to differentiate between these purposes of research are self-explanatory. Babbie and Mouton further noted that qualitative studies tend to be more descriptive in purpose. From this theory or point of view, the study title, background, problem statement and objectives of this study puts this study in the category of a descriptive research.

The above-discussed preliminaries provided a platform from which to build the architecture or design and methodology (Babbie & Mouton, 2001) of this study, which is discussed next.

## **1.6 RESEARCH DESIGN AND METHODS**

This section of the study outlines the research design and methodology approach to the study. To give effect to the study objectives discussed earlier, this study was described as descriptive in purpose and qualitative in approach. Babbie and Mouton (2001: 74–75) differentiated between research design and methodology by pointing out that research design is concerned with the evidential end product that responds to the question asked whilst the methodology focusses on the processes of collecting, processing and analysing the data necessary to support the evidence.

### **1.6.1 Research design**

The purpose of this study was identified as descriptive under sub-section 1.5.3 earlier. Similarly, the design of this study was descriptive as it sought to provide an account of how the M&E system is integrated within the strategic and operational arrangements of the case under research (Babbie and Mouton, 200:80-81). The descriptive design approach was suitable as it provides relevant stakeholders with knowledge and status of the institutionalisation of M&E systems within the WCED.

Welman, Kruger and Mitchell (2005: 193); Henning, Van Rensburg and Smit (2004: 41) and Mouton (2001: 149) noted that qualitative research approaches are suitable for case studies and often follows the empirical and ethnological research route. Arguing that ethnological methods are essentially qualitative research approaches, Welman *et al.* further stated that ethnography refers to descriptive designs. Mouton further noted that empirical studies use empirical data, descriptive questions and can be applied in case studies with small samples including “theoretical sampling”. A case study is described as an empirical inquiry using small samples focussing on real-life setting (Auriacombe, 2006: 599). Case studies are differentiated from other participant observations in that case studies can be done “without leaving the library and the telephone” (Yin, 1994: 1–12). From this point of view it seems as if this approach to data collection leans more towards the utilisation of desktop research and document analysis.

### **1.6.2 Qualitative research methods**

Welman and Kruger (1999: 190–199) differentiated between four types of research methods namely, participant observation, unstructured and in-depth interviews, participatory research, and the case study. The data was collected employing various methods including desktop research, document analysis, literature review and qualitative interviews with selected officials purposively identified within the WCED department. The researcher opted for the case study method for this research as this study is limited to the WCED.

### **1.6.3 Qualitative data analysis**

Qualitative data analysis is described as consisting of all relevant qualitative instruments (Babbie & Mouton, 2001: 490). The qualitative data collected was analysed throughout the research process and categorised according to the themes identified from the theoretical and policy frameworks and emerging information from the data collected. The elements identified as key in institutional arrangements were used to formulate the questionnaire, and manage data collection and analysis. The document data mentioned earlier was also analysed looking for evidence indicating how existing systems are institutionalised in relation to the theoretical best practices and policy framework requirements. As indicated earlier, Kusek and Rist’s “*Ten steps to a Results-*

*Based Monitoring*” also serve as model of analysis. The analysis process led to a “thick description” document presented as the end product of this research.

#### **1.6.4 Overview of chapters**

This study consists of the following chapters:

- **Chapter 1:** Introduction of the study by providing background, rationale of the study, objectives, preliminary literature, M & E-related policy frameworks and preliminary design and methods.
- **Chapter 2:** Clarification of M & E-related concepts and literature study into the processes for designing, building, institutionalisation and sustaining M & E systems.
- **Chapter 3:** M & E-related policy and legislative frameworks providing legal mandates of the M & E processes and institutionalisation.
- **Chapter 4:** Design and methods employed interpreted from the study problem, questions and objectives as well as the literature study and policy frameworks requirements.
- **Chapter 5:** Preliminary description of the case being studied providing background and situational analysis and results of the assessment.
- **Chapter 6:** Field work/case findings presentation and discussion
- **Chapter 7:** Recommendations based on lessons learnt from literature studies, policy frameworks requirements and other field work revelations.

#### **1.6.5 Chapter summary**

The purpose of this chapter was to introduce the study by providing a background, the rationale, objectives, preliminary literature; M & E-related policy frameworks and preliminary design and methods. The preliminary scanning indicated that there is sufficient material as well as confirmation that M & E system issues are worthy of assessment by focussing on key determinants for a successful M & E system in government. As this was merely an introduction, substantive assessment was undertaken with a more detailed literature review in the next chapter.



## **CHAPTER 2:**

# **OVERVIEW OF THEORETICAL APPROACH TO M & E INSTITUTIONALISATION AND MANAGEMENT**

### **2.1 INTRODUCTION**

Within the context of the objectives of this study as well as the research problem statement discussed in chapter one, this chapter provides key definitions of relevant concepts, a brief outline of the origins of M & E, an overview of M & E perspectives and a brief discussion of the design and implementation of M & E systems as pretext for the discussion of the institutionalisation of M & E systems, focussing on key determinants for sustaining such a system. A thorough literature study was conducted with a specific view of gaining an appropriate understanding of M & E and related concepts like service delivery monitoring. This literature perspective on M & E will be followed by an overview of legislative frameworks and policies relevant to M & E.

### **2.2 PURPOSE AND RATIONALE FOR LITERATURE REVIEW**

Brynard and Hanekom (1997: 31) noted the rationale for the literature review is twofold in that (i) it “attains perspectives on the most contemporary findings interpreted from relevant studies and (ii) it extracts the most relevant method and tools to improve future research approaches”. The researcher found this description self-explanatory and sufficient. This study focussed on the institutionalisation of M&E of a public sector service delivery department. Therefore, the description of institutionalisation of M&E systems looked at various elements of M&E institutionalisation. The researcher conducted a preliminary literature review, as part of the research proposal also as part of writing chapter one, to look at available theories and frameworks to support this study. Various theories on M&E in general and M&E systems in particular indicated that although still limited, there is some material on M&E systems and institutionalisation thereof.

### **2.3 BACKGROUND TO MONITORING AND EVALUATION**

The Egyptians are credited with some form of systematic agrarian monitoring and assessment as far back as 5 000 BC (Morra Imas and Rist, 2009: 19). Fitzpatrick, Sanders and Worthen (in Morra Imas and Rist, 2009: 19) also indicated that the origins

of evaluation as we know it, dates back to about 2 000 BC at the initiative of the Chinese and Greeks.

Closer to modern time, the development of M & E as a profession is said to have taken shape during the early 20<sup>th</sup> century (Rabie and Cloete, 2009: 2). Rabie and Cloete further stated that studies into government programmes started as early as the 1940s followed by educational programmes becoming more visible during the 1960s and 1970s. Chelimsky (in Rabie and Cloete, 2009: 2) indicated that the earlier approach to evaluation was to ensure value for money spent on improving government programmes (Rabie and Cloete, 2009: 2). Rossi *et al.* (2004: 40) described programme improvement-focussed evaluation as formative evaluation, an evaluation service with the purpose of guiding the process through all stages. Implied in this early approach of using evaluation to rationalise programme funding is accountability, which is enabled by comprehensive information provided by evaluations at the end of the programme referred to by Rossi *et al.* (2004:37) as summative evaluation. This approach also implies accountability as programme managers would be better aware of what, how and the number and costs of inputs used to execute a programme against its value.

Shadish and Luellen (in Mouton, Rabie, De Coning & Cloete, 2014: 27) indicated that the concept of “planful social evaluation” can probably be traced to the Chinese employee selection practices around 2 200 BC.

In South Africa, the Government wide Monitoring and Evaluation (GWM & E) system is relied upon to track reform and development progress since 1994 tapping from all other existing systems (The Presidency, 2008:1). This system necessarily requires data on the various government programmes’ implementation progress and achievements. Other notable systems are the National Treasury Framework, Stats SA, the Public Service Commission, DEAT, DPLG and the Presidential Reviews as frameworks to monitor and evaluate government programme performance (Rabie, 2015).

### **2.3.1 The evolution of M & E from a development evaluation approach**

Among the many evaluation approaches that have and continue to emerge, the development evaluation approach is very relevant. It is based on the explicit philosophy theory, making it part of the theory-driven and theory of change (ToC) approaches that consists of a number of evaluations including: goal-free evaluation, clarification

evaluation, illumination evaluation, cluster evaluation and multisite evaluations (Rabie, 2014: 126). The development evaluation approach is development focussed and uses evaluation methods such as asking evaluative questions in sourcing fresh data to inform “ongoing decision making adaptations” (Rabie, 2014: 133). This theory seems to be relevant in the public sector of developing countries where much development work and programmes are needed. Given the critical need for expertise in disciplines such as science and engineering, in addition to finance and governance, the development evaluation approach has and continues to add value to development. It is clear from the above that the discipline of M & E is evolving, presenting opportunities, challenges as well as new concepts.

## **2.4 TYPES OF M & E**

Various types of M&E were found during literature search and review in the previous chapter. This section outlined the different monitoring and evaluation types in a manner that is not exhaustive but sufficient for the purposes of this mini-thesis study.

Six M & E types are differentiated by The Presidency (2011: 9), with indications of what each of them covers. These evaluation types are

- i. diagnostic evaluations, which are primary processes of assessing the current situation, laying the ground for programme or project interventions, informs intervention designs and the theory of change;
- ii. design evaluations, which uses diagnostic information to structure interventions, including assessing required indicators and assumptions;
- iii. implementation evaluations, which are focussed on tracking performance during the intervention implementation and contributes towards the monitoring system and assists programme/project efficacy and efficiency improvements;
- iv. impact evaluations focussed at outcome level seeking to assess an after implementation situation and informing high-level decision making about the future of the intervention;
- v. economic evaluation conducted at any necessary point of the intervention to assess the value for money using methods such as cost–benefit analysis; and
- vi. evaluation synthesis, which is a consolidation of a number of evaluations with the view of generalising findings across the defined environment.

This list of types of evaluations is not exhaustive but provides an idea of what is available to be used to fulfil the M & E purpose appropriate to answer the research questions posed.

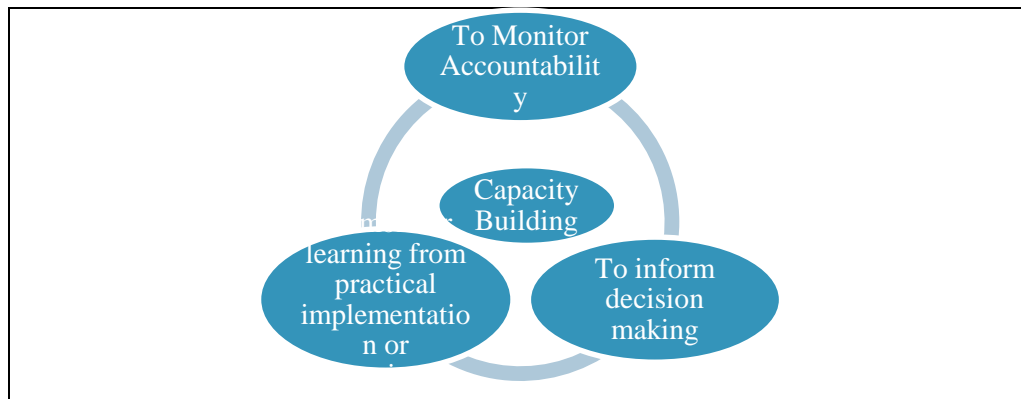
## **2.5 PURPOSE OF M & E**

This section presents the various purposes of M & E. The purpose of M & E is said to be very important by various authors as it serves as the foundation for the design and ensures the sustainability of monitoring and evaluation systems.

A distinction is made between various purposes of M & E, namely (i) policy improvement, (ii) programme and project improvement; (iii) improving accountability; (iv) knowledge-generation, and (v) decision-making (Rossi *et al*, 2004:39-40). It is clear from the different types of M&E purposes that the choice of the purpose of M&E initiative need to be informed by the end-goal for in mind. The assessment proposed for this study could be used for most of these purposes as the information generated is practical and specific to the case under study.”

These authors further explain that the purpose of programme improvement denote formative evaluation due to its input programmes (implementation but before the completion of the programme) to help the programme perform better (Morra Imas & Rist, 2009: 9). The purpose of programme accountability, on the other hand, is to evaluate the programme at the end to judge its value or merit looking at the entire process of the programme from planning to completion looking at the sum total of programme effectiveness (Rossi *et al.*, 2004: 40). Lastly, the purpose of knowledge generation has to do with imparting learning to understand the limits and possibilities for posterity and other future improvements.

The United Nations Development Programme United Nations Development Programme (UNDP) (2002: 6) added that the overall purpose of M & E is to achieve organisational programme and project results through enhanced performance. The United Nations Development Programme (UNDP) further states the contributions of M & E relates to human resources capacity-focussed objectives, as depicted in Figure 2.1 below.



**Figure 2.1: M & E and capacity building**

*Adapted from United Nations Development Programme (UNDP), 2002:6*

From an application approach, evaluation is said to differentiate between three types, namely policy, programme and project. In terms of this approach, evaluation is useful in providing relevant stakeholders with feedback on policy, programme and project interventions (Morra Imas & Rist, 2009: 14). Evidence gained through an evaluation like this assists the decision makers to correct the current or future approaches to policy, programme or project application.

## **2.6 EVALUATION STRATEGIES**

Chen (in Cloete *et al.*, 2014: 116–117) differentiated between evaluation strategy and evaluation approach by identifying evaluation strategy as the route chosen by the evaluator in achieving the identified M & E purpose, whereas the evaluation approach on the other hand, consists of guiding principles and procedures of articulating the research problem, research methods applied and analysis of data. The four types of evaluation strategies were identified as assessment strategies – focussed on performance information provision; developmental strategies – focussed on using the provided performance information to plan an intervention; enlightenment strategies – focussed on understanding the less obvious assumptions and instruments for better risk mitigation; and partnership strategies – focussed on governance by way of including relevant stakeholders from the beginning of and during the implementation of the system (Cloete *et al.*, 2014: 116–117).

## **2.7 M & E AND RELATED THEORETICAL APPROACHES**

This section looks at relevant theories as possible bases for this study. Ijeoma (2013: 12) described theory as a “set of ideas intended to explain why something happens or

exists”. This description is self-explanatory but not as straight forward as it may appear. Frederickson and Smith, (Ijeoma, 2013: 7) added that legitimacy and value of a theory lies in its ability to define, clarify and forecast the phenomenon under study.

Focus is therefore turned on theories relevant to the public administrative environment for better relevance of understanding theories relevant thereto. An overview of these administrative theories is provided below.

**Public administration** is described as referring to processes essential for the efficient and effective implementation of a programmed institutional policy and goal. (Ijeoma, 2013: 14). Cloete (Ijeoma, 2013: 14) concurred, adding that administration is about a participative and collaborative process between at least two people to accomplish the task at hand in the best possible way. Taking a broader perspective of the public management concept, Shafriz, Russell and Borick (in Ijeoma, 2013: 15–19) described public administration as consisting of a number of characteristics including (i) political mandates that are executed through the administration and (ii) public administration is about the management of the execution process of government mandates through basic and developmental service delivery programmes.

**Administrative theory** is described as consisting of five characteristics, namely (i) descriptive theory, which refers to the actual processes of administration including describing the underlying cause of the observed elements, (ii) prescriptive theory, which refers to administrative policy change trajectory rigidly commanded by the bureaucratic powers, (iii) assumptive theory, which takes a development approach to administrative processes and practices with the view of understanding culture and politics of the institutions, (iv) instrumental theory, which focusses on management of the administration that is important in supporting policy and goal attainment, and lastly, (vi) normative theory, which looks at the political, developmental roles of the administration from a perspective of how it ought to be.

Zooming into approaches to M & E, Shaddish, Cook and Leviton (in Rabie, 2011: 42) noted that as the science of M & E is developing incrementally, so too are the various explanations and views on approaches to M & E. Approaches/models serve the purpose of representing complex realities initially simplified in describing and explaining relationships between variables (Ijeoma, 2013: 2). The complex realities referred to

above mean that sustainability has become the centre focus of development with the shift from project to programmes. These complexities necessitate appropriate approaches to design, build and sustain monitoring and evaluation systems (Morra Imas and Rist, 2009: 181).

Differentiation is made between various approaches to M & E, including approaches such as prospective evaluation, evaluability assessment, goal-based evaluation, goal-free evaluation, multisite evaluation, cluster evaluation, social assessment, environmental evaluation, participatory evaluation, outcome mapping, rapid assessment and more to describe the M & E phenomenon (Morra Imas and Rist, 2009: 182). In their discussion of “a typology of monitoring and evaluation approaches,” Rabie and Cloete (2009: 76–97) whittled down previous long lists of M & E approach classifications by Stufflebeam and Shinkfield (2007) and highlighted three clusters of approaches namely the **scope of evaluation** – focusing on the object of evaluation; the **underpinning thinking** – focussing on clarifying the purpose or aim of the evaluation while the **design and methodology** – focusses more on the how or process of evaluation (Cloete *et al.*, 2014: 120). The rest of this section provides an overview of evaluation examples under each of these classification categories.

- **Scope-based evaluations approach**

A key characteristic of this approach is that the evaluations within it are focussed on an organisational intervention, programme, project and service aspect, which may be the input, activity, output, outcome or impact. Examples of these types of evaluations include;

- *systemic evaluations*, which focus on evaluating the entire system of an entity, be it a province, a department within the province, policy evaluations that either focus on policy alternatives, policy impacts and or policy effectiveness and efficiencies;
- *programme monitoring* and *programme evaluation* focuses on monitoring/tracking programme performance during the programme and the evaluation of programme results at each stage of the programme life cycle stages (Rossi *et al.*, 2004: 45);
- *evaluability assessment* (Cloete *et al.*, 2014: 122–123) entails the collection and assessment of data so as to determine the prospects of a successful evaluation;

- *community evaluation* refer to the process of involving the community in the planning and conducting of community-specific evaluation and thereafter ensuring that reporting and information dissemination also takes place in partnership with them;
- the last of the whole intervention evaluations is the *meta-evaluation*, which is a summative quality check approach to ensure that evaluations are conducted as they should be (Cloete *et al.*, 2014: 121)
- Differentiation is further made between evaluation that can be applied as part of interventions including input evaluation or feasibility studies, which focus on providing additional data to an existing evaluation process to assist with decision making; process monitoring and evaluation is used within a programme to ensure a programme succeeds with service delivery to the intended beneficiaries (Cloete *et al.*, 2014: 124). Cloete *et al.* (2008: 6) agreed and highlighted the importance of process monitoring and evaluation with specific reference to the “effectiveness and efficiency benefits of this assessment” The philosophical based evaluations are briefly discussed in the next paragraph.

- **Philosophy-based evaluations**

Whereas the previous theories were scope-based and intervention focussed, the theories under discussion in this section are philosophically based and are theory-driven and participatory focussed. Theory-driven approaches consist of goal-free evaluation, clarification evaluation, illuminative evaluation, realist evaluation, cluster evaluation and multi-site evaluations and development evaluation. **The participatory approaches category**, which emphasises the involvement of participants in real terms, including the decision making stages include the following evaluations:

- **critical theory evaluation**, which focusses on the critical participants’ perspectives to bring about change to the status quo;
- **naturalistic, constructivists, interpretivists or fourth-generation evaluation**, which is said to be a developing approach, attempting to ground the evaluation process into the setting and people being evaluated;



- **Appreciative and evaluative inquiry** focuses on organisational strengths through the uses of data collection (Cloete *et al.*, 2014: 136) and relevant information to dispel false notions about the evaluand's merit or value (Cloete *et al.*, 2014: 136);
- **Responsive evaluation**, which is described as a formative evaluation with key elements that clarifies and links the responses to each dimension while differentiating itself to the preordinate evaluation (Cloete *et al.*, 2014: 138).
- **Democratic evaluation** is focussed on considering the interests of the wide-ranging key stakeholders throughout the M & E process.
- **Empowerment evaluation** is focussed on capacity building of the evaluand to bring about equity in the balance of power (Cloete *et al.*, 2014: 139) where the evaluator's performance function is that of being the capaciator in the process (Cloete *et al.*, 2014: 139).
- **Utilisation-focussed evaluation** is based on the theory (Cloete *et al.*, 2014: 139) that sees the merit of evaluations to the extent that data or information flowing from these evaluation systems is utilised by the stakeholders.

Essentially, the philosophy-based evaluation theory underpins two evaluation approaches, namely the theory-driven evaluation approach and the participatory approach as espoused by various theorists (Rabie, 2014: 133–142)

- **Design-based evaluations**

The last of the three evaluation theory categories (scope, philosophy and design-based theories) is the design-based evaluation theory, which underpins three evaluation approaches namely (i) quantitative approach, (ii) qualitative approach and the (iii) mixed-method approach (Rabie, 2014: 142–150). Morra Imas and Rist (2009: 234) described evaluation design as a blueprint containing the overall approach to the evaluation, including all the issues and planned processes of the evaluation. Cloete *et al.*, (2014: 142–149) differentiated between three evaluation research approaches, namely the quantitative approach, which includes the experimental and quasi-experimental evaluation designs; the qualitative approach, which consists of surveys, case study evaluations, interviews and participative action research; and the mixed approach.

Patton (in Morra Imas & Rist, 2009: 234) differentiated between two aspects (conceptual and technical) to evaluate design where the conceptual aspect refers to thought processes of evaluation participants while technical aspects concerns the planning, collection, processing and presentation of research data. They further presented a five-stage process of evaluation design where step 1 focuses on planning of or scoping the evaluation; step 2 deals with designing the evaluation; step 3 concerns conducting the evaluation; step 4 entails reporting the evaluation findings; and step 5 concerns the dissemination and follow-up of evaluation finding.

All three of these design approaches have value on their own and combined or mixed, but as Morra Imas and Rist (2009: 28) indicated, the research question or problem is key in determining the design and methodology of an evaluation research approach.

The next section concludes the assessment of M & E approaches by attempting to put service delivery monitoring and evaluation at the centre of the M & E approaches given that most, if not all government policies, strategies and programmes are service oriented.

## **2.8 ORGANISATIONAL AND INSTITUTIONAL THEORY**

This section assessed some of the organisational and institutional theory that may relate to this study. According to Robbins and Barnwell, (2006:20-25). “organisational theory is a cross-disciplinary study drawing on sociology, anthropology, social psychology including philosophy”. The researcher notes extend of human elements that may be affected by this approach. Differentiation is made between three organisational theories namely, positivism, normative- and critical theory. A brief overview of some of the details of these organisational or institutional theories takes the view that the positivism approach refers to a belief in knowledge generation through research to better understand and improve organisational effectiveness, whereas critical theory takes a critical view of the organisation; whilst the positivist approach, with a seemingly socialist thinking, influenced view that workers need protection against perceived management exploitation.

Postmodernism is somewhat aligned with the critical theory and looks beyond the modernist approach and views modernism, which emerged in the wake of the Industrial

Revolution of Europe, as a passing inconvenience. Modernism is described as the period in the 18<sup>th</sup> century during which proliferation of scientific, economic, capitalism and individualist encounters were at its height. Postmodernism seems to be sceptical of the notion that knowledge generation needs to be approached in an objective and non-partisan, scientific manner. Postmodernism also touches on the political notion of organisational theory.

The last organisational theory assessed here is normative theory, which is said to be applicable transversally in all situations (Robbins & Barnwell, 2006: 21). The normative approach seems to be the theory that closely aligns to Robbins and Barnwell's description of organisational theories as being "cross-disciplinary" in nature. Essentially, organisational theory influences and is influenced by key elements like culture, politics, processes, design and structures (Robbins & Barnwell, 2006: 21–94). It would seem from the aforementioned discussion that the complexity of organisational theories require dynamic perspectives.

## **2.9 SERVICE DELIVERY MONITORING AND EVALUATION APPROACHES**

Although it can be argued that M & E approaches and theories can be applied to all sectors and disciplines, it was necessary to lift out service delivery within the public sector in this section as a basis for the assessment of approaches to M & E systems. The case unit of analysis is a major service delivery entity and a reflection on its core focus is deemed relevant as part of this section.

Service delivery is defined as the provision of public services, goods and other benefits (Fox & Meyer, 1995: 118). These services and goods are provided in response to the public demands and basic needs. As indicated earlier, the developmental orientation of the state (Public Service Commission (PSC), 2008: 8), as provided for by section 195(1) (c), has meant that service delivery has to be provided to a wider pool of people than was the case, during the period up to 1994 resulting in possible strains on the public institutions charged with the provision of service delivery. The monitoring and evaluation of the quantity and quality of these services were identified as a necessity by government from 2007 onwards.

Various service delivery monitoring approaches seem to be in place as indicated in the discussion following. These arrangements are important to support M&E systems

institutionalisation within the South African Public Service. The elements discussed above range from policy to the outcomes based approach to service delivery monitoring & evaluation. These elements are in the form of:

- **Policy:** Service delivery is policy in that in chapter two (Bill of Rights), the Constitution provides for access to a range of services including such services as health, education and information among others (Republic of South Africa, 1996: 5–20). Chapter two, section 195 of the *Constitution* is also dedicated to “basic values and principles governing public administration”, which is the institutional arrangements set up to provide service delivery in the spirit of this policy. Additional service delivery approaches are the *White Paper on the Transformation of the Public Service of 1995* coupled with the *White Paper on the Transforming of Service Delivery*, 1997 (Batho Pele), which gives effect to the 1995 policy with eight principles against which service delivery could be monitored and evaluated. The principles contained the Batho Pele Policy are: consultation; service standards; access; courtesy; information; openness and transparency; redress; and value for money (Public Service Commission, 2008: 34). Given the size and complexity of government, it became necessary for decentralisation of service delivery implementation and improvement in the various departments.
- **Service delivery monitoring institutional arrangements:** Structurally, the Department of Public Service Administration (DPSA) is responsible for the configuration of public administration. An approach is taken to establish a number of institutions to monitor the implementation of service delivery policies within the public administration. A number of institutions exist to monitor service delivery, including the Public Service Commission, who in terms of section 196 of the Constitution is (RSA, 1996:104), is responsible for monitoring and evaluation of service delivery. The researcher noted that within the provinces, the M & E coordinating role is performed by the Department of the Premier, in partnership with decentralised strategy and M & E units, who assist with departmental service delivery programmes and annual performance planning within the various provincial departments.
- **Public service (human resources) performance approach:** The policies, organisational structures and improvement programmes are invariably

supported by people. The approach to managing people that are expected to execute the service delivery policies and implement the government service programmes and projects is referred to as the public service (Republic of South Africa, 1996: 106). Provision is made for each head of department to capacitate their employees through various mediums, including external service providers like universities, consultants and internal service providers through senior staff members, who are capable to train or present training (Department of Public Service Administration, 2015: 23).

- **Institutionalisation of service delivery approach:** Institutionalisation is described as an organisational development and growth process that results in organisational policies, governances, values, processes, structures and practices being intertwined with its culture and environment (De Coning & Rabie, 2014: 250). The changing role of government introduced a “new institutionalism” approach, which was an attempt to provide a normative guide on the establishment of organisational systems for the broader good as opposed to serve narrow individual pursuits (Batley & Larbi, 2004: 35). According to the *Service Delivery Review* of the DPSA (2015: 18), the South African local government sector is resorting to the institutionalisation approach to deal with the challenge of not being able to reward performance or discourage poor performance appropriately. The institutionalisation of their performance management systems is part of a bigger change approach, which they refer to as the back-to-basics approach. This back-to-basics approach consists of five pillars, namely putting people first, delivering basic services, good governance, sound financial management, and building capacity. These pillars are used as indicators to monitor and evaluate whether municipalities are performing in terms of the ‘basics’ or not (Department of Public Service Administration, 2015:18). Institutional capacity, which includes local governance skills, building robust administrative systems and processes, were also identified as key elements to ensuring delivery of the local government’s basic services. The basic focus areas of their service delivery monitoring and evaluation would be on:
  - Tracking the extent of filling strategic posts with capable people;
  - Assessing the extent of congruence between municipal structures and service delivery strategies;

- The extent to which human resources and programme management is able to be institutionalised;
- Adequate governance platforms to collaborate and problem-solve earlier rather than later; and
- The establishment of systems that would support their envisaged changes

It would seem from the above discussion, that institutionalisation of any organisational system needs some level of stability to succeed. The next section provides some organisational context for successful implementation of this approach.

- **Organisational effectiveness and M & E approaches**

It was stated earlier that one of the goals of a monitoring and evaluation system is to improve government programme performance. Differentiation is made between four approaches to organisational or institutional effectiveness, namely (i) **goal attainment approach** – applied where clarity exist with regards to goals and measures delivery times, (ii) **systems approach** – is an approach that is applied where connection between inputs and outputs is known, (iii) **strategic constituencies approach** – applied where participation and influence from constituencies requires response to their demands and (iv) the **balanced scorecard approach** – which consist of four perspectives, namely financial, customer, internal business processes, and innovative and learning perspectives, and is relevant where organisation arrangements reflect complexity and functioning under severe constraints (Robbins & Barnwell, 2006: 97). The balanced scorecard is also described as the approach that incorporates the three aforementioned approaches. Cilliers (in Cloete, 2009: 304) differentiates between simple, complicated and complex government management systems. A full discussion on the characteristics of each of these elements will not be presented at this point except to further highlight that Cilliers (in Cloete, 2009: 304) characterised the complex system as a system that consists of several elements, which complicates “full understanding of the system”. The three elements of the GWM & ES namely *National Treasury Framework for Managing Performance Information*, *South African Statistics Quality Assurance Framework (SASQAF)* and the *National Evaluation Policy Framework* discussed further in chapter three of this study. Contemplating the

complexity of these elements indicates the need requiring approaches that are appropriately capacitated to sustain this system.

- **Public administration approach**

Ijeoma (2013: 4) noted four approaches to public administration, with i) the historical approach, where current ideas are inspired by those of the past, ii) formal structural approach that uses processes and structures to analyse the organisation, iii) the decision making approach, which looks at the analysis of role players in the decision making process as well as decisions themselves; and iv) the administrative process approach, focussing on the entire administrative or governance system.

- **Outcomes-based approach.**

One of the service delivery related approaches was the outcomes-based approach according to which the transformation process of all the inputs had to be processed and manifest in the intended policy and programme outcomes, with M & E systems focussing on identifying service delivery impediments early on in the system (Mouton, 2010: 122). Current government service delivery M & E systems are built around this approach. The service delivery monitoring approach taken by the outcomes approach is that the backward programme planning, focussing on desired outcomes and outputs to be contributed by each accountable entity in the service delivery chain, enables monitoring of the performance improvement outcomes (The Presidency, 2010:9-10)

The assessment of the all the theories and approaches discussed above so far begs an answer to the “so what?” question posed by Kusek and Rist (2004: 12), which takes us to the next section looking at the results-based approach to monitoring and evaluation.

- **Results-based monitoring and evaluation approach:** For Kusek and Rist (2004: 12), results-based monitoring and evaluation has to do with accountability, governance and evidential information to provide stakeholders with feedback on government programme performance. They further argued that there is no tension between monitoring and evaluation as long as both are results focused (Kusek & Rist, 2004: 13). Morra Imas and Rist (2009: 109) agreed with this approach and highlighted the difference between traditional M & E and results-based M & E to be shifting both the monitoring and evaluation

approaches to the results level. It can be argued that from the systematic approach (Rossi *et al.*, 2004), both monitoring and evaluation have a role to play as part of an M & E system.

This section has attempted to assess the available approaches to service delivery monitoring. From a policy and legislative point of view, adequate provision seems to have been made for service delivery and means of monitoring service delivery programme implementation. The point of this study, however, is focussed on whether the monitoring measures are institutionalised. The assessment continues to explore lessons that can be learnt from best practices to the institutionalisation of monitoring and evaluation systems.

## **2.10 M & E PROCESS TO A RESULTS-BASED DESIGNED, BUILT AND SUSTAINED AN M & E SYSTEM**

The purpose of this study revolves around the institutionalisation of M & E systems. The process theory discussed earlier served as part of the context for choosing this model for assessment. Kusek and Rist (2004: 25) outlined a process consisting of ten steps to designing, building and sustaining a monitoring and evaluation system. These ten steps, depicted in the diagram below and discussed in some detail, represent a systematic process towards institutionalisation of a monitoring system. The process was followed by some discussion of the key determinants for institutionalising an M & E system.

A detailed M & E system definition reads as follows:

*An M & E system can be defined as a description of the main questions and objectives that are to be addressed or attained through monitoring and evaluation efforts, as well as a detailed description of the key aspects to be monitored and evaluated, including the measurement indicators, processes for data collection and verification, delegation of responsibilities, and prescriptions and deadlines for reporting of the results (Rabie, 2011: 90).*

This definition aptly describes the framework of Kusek and Rist, depicted below, very well. The following section follows a systematic assessment of this framework.





**Figure 2.2: Ten steps to designing, building and sustaining a results-based M & E system**

*Source: Kusek and Rist (2004: 25)*

### **2.10.1 Step 1: Institutional situational assessment for systems success**

The first step involves assessing current and likely states of the following elements:

- Incentives and disincentives,
- clarity of roles and responsibilities,
- institutional capacity (beyond the organisation),
- political (willingness),
- economic,
- social,
- internal and external,
- technological,
- environmental,
- legal/legislative, and
- other barriers that might negate the objectives of the system. (Morra Imas and Rist, 2009: 113–115).

Participation of all relevant stakeholders from the start and throughout the assessment exercise process is encouraged to increase the chances of acceptance and ownership (De Coning, 2015: class notes). From this assessment, it is clear that people need to be persuaded to partake in monitoring and evaluation processes from the start so that they can experience ownership of the whole system. De Coning further indicated that this step allows the leadership to commit to addressing the capacity gaps and to put contingencies in place to ensure a successful start, continuation and sustainability of

the system. Kusek and Rist (2004:40) emphasised that the process of designing, building and sustaining an M & E system is more of a “political activity” than it is a “technical dimension”. This point highlights the importance of political and leadership buy-in from start to finish in this process. Without this buy-in the rest of the process would be futile.

A possible tool for assisting in this process could be the theory of change, which is described as the “blueprint of the building blocks needed to achieve the long-term goals of a social change initiative” (Morra Imas and Rist, 2009: 151). They further highlighted the benefits of this tool as describing important areas of an M & E system like input, output, outcome, and impact in addition to the related indicators and assumptions underlying these elements. The W.K. Kellogg Foundation (2004: 10) explained that the theory of change enables the “various stakeholders to make informed decisions about programme priorities, funding priorities, assistance to grants, and evaluation of programming impact”. From the description of this tool it is clear that it would assist in the upfront assessment and clarification of the key requirements for designing, building and sustaining the M & E system. According to Kusek and Rist (2004: 41–51), this step represents the process of “taking the pulse” of the organisation to assess the state of readiness for the institutionalisation of the M & E system looking at the three main issues as follows:

- Incentives and demands for the design and building a results-based M & E system. Interest and commitment at political, organisational, institutional and individual level is a key consideration before such a system can be switched on.
- Roles and responsibilities, indicating who does what to whom including the how and when, are important to clarify the roles of the political champion(s), administrative leadership champion(s), internal and external stakeholders as well as their motives (answering the why question), and needs to be clarified upfront.
- The third and last issue needing clarity is the matter of capacity of the policies and frameworks, individual-, group-, organisational-, and institutional capacity, not only at the skills level but also at the financial-, people-, technological-, and relationship level with the capacity to monitor and evaluate the functionality of the system itself. These steps set the tone of the future conversations in the process, including the agreement on outcomes to be monitored.

### **2.10.2 Step 2: Agreeing on outcomes to monitor and evaluate**

De Coning (2015: class notes) views steps two to five as the core of the M & E framework. De Coning adds that, in addition to the outcomes, the objectives should be part of what is agreed to in order to guide this M & E system in step two. Guiding the selection of objectives and outcomes should be the relevant institutional policies, vision and strategy. Some of the key requirements of this step are (i) the realisation that the agreed upon objectives and outcomes is a political process, (ii) participation of the interested parties, especially the key users of the system, (iii) consideration of impact on “national/sectoral” goals (for example *NDP 2030* and *Western Cape Health 2020 Plan* and new *MDGs*) including contributions towards international agreements and treaties like the MDGs (Kusek & Rist, 2004: 56–64).

Some examples of outcomes for the health sector could be (i) “We want improved health for infants and children,” and for the education sector (ii) “We want improved literacy for grade 1 to 7 learners” (Kusek & Rist, 2004: 59). The next natural step after selecting outcomes is to select indicators giving effect to this outcome.

### **2.10.3 Step 3: Selecting key indicators to monitor outcomes**

The process of selecting key indicators to monitor outcome is described as key in linking the outcomes described above and the subsequent data to be gathered against these indicators and in line with the desired outcomes. Schiavo-Campo (in Kusek & Rist, 2004 :68) proposed five key characteristics of good indicators, namely, they must be (i) clear (precise and unambiguous), (ii) relevant (fit for purpose and aligned to outcomes), (iii) economic value (services with value for money) (iv) adequate (comprehensive enough to useful for purpose), and (v) measurable. De Coning (2015) cautioned against selecting too many indicators and suggests starting off with a minimum number of indicators and scaling up to desired levels based on available capacity. This is sound advice as over promising and underperforming may unintentionally undermine the institutionalisation of M & E systems. Reasonable confidence must exist before embarking on the next step of collecting baseline data according to the selected outcomes and indicators.

### **2.10.4 Step 4: Baseline data on indicators — Where are we today?**

According to *Morra Imas and Rist, (2009: 119)* one way of describing baseline data is that it:

*...provides information (qualitative or quantitative) about performance on an indicator at the beginning of (or immediately before) the intervention. In fact, one consideration in selecting indicators is the availability of baseline data, which allows performance to be tracked relative to the baseline (Morra Imas and Rist, 2009: 119).*

The above description seems to show the selection of indicators would have to take into account the implications on the data to be selected and vice versa. An effect framework for baseline data collection should take into account the elements indicated in the Table 2.1 below.


**Table 2.1: Template for building of information**

| Indicator | Data Source | Data collection method | Who will collect data | Frequency to collection | Cost and difficulty to collect data | Who will analyse data? | Who will report data? | Who will use data? |
|-----------|-------------|------------------------|-----------------------|-------------------------|-------------------------------------|------------------------|-----------------------|--------------------|
| 1         |             |                        |                       |                         |                                     |                        |                       |                    |
| 2         |             |                        |                       |                         |                                     |                        |                       |                    |
| 3         |             |                        |                       |                         |                                     |                        |                       |                    |
| 4         |             |                        |                       |                         |                                     |                        |                       |                    |

Source: Kusek & Rist, 2004: 82

From the above description it is clear that data is central to the design, building and sustaining of an M & E system. Kusek and Rist (2004: 85) differentiated between 12 data collection methods as indicated in the Table 2.2 below.

**Table 2.2: Data collection methods**

|   |                      |              |   |   |                        |   |                |                 |               |        |                   |
|---|----------------------|--------------|---|---|------------------------|---|----------------|-----------------|---------------|--------|-------------------|
| Conversation with Concerned individuals     | Community interviews | Field visits | Reviews of official records (management information system and administrative data) | Key informant interviews, participant observation                                   | Focus group interviews | Direct observation                        | Questionnaires | One-time survey | Panel surveys | Census | Field experiments |
| <b>Informal and less-structured methods</b> |                      |              |   |  |                        | <b>Formal and more-structured methods</b> |                |                 |               |        |                   |

Source: Kusek & Rist, 2004: 85

One of the key considerations in data collection is the validity factor. The application of the appropriate data collection methodology is therefore important in ensuring the planning and monitoring for results processes are reliable and valid. An example of a finding could be that the current number of schools with long-drop toilets in the Western Cape Education Department is 200. Once the data and trends are known, the next step is to plan for the actual implementation of the evaluation.

#### **2.10.5 Step 5: Planning for improvement — Selecting result targets**

With baseline data, the next step is to set performance targets as a final step in building the performance framework (Kusek & Rist, 2004: 90). It can be described as follows:

*“The baseline is the situation before a programme or activity begins; it is the starting point for results monitoring. The target is what the situation is expected to be at the end of a programme or activity ... A thorough analysis of the key factors influencing a development problem complements the development of baseline data and target setting. (Morra Imas & Rist, 2009: 92)*

From the above definition, the following example may apply:

Outcome target: By 2030, decrease the number of schools with long-drop toilets in the Western Cape by 95 percent against the baseline.

Planning being the last step of the M & E Framework, according to De Coning (2015) sets the stage for the commencements of implementing the system by monitoring for results.

#### **2.10.6 Step 6: Monitoring for results**

Monitoring for results can be described as “A ...process that ...tracks both implementation (inputs, activities, outputs) and results (outcomes and impacts)” (Morra Imas & Rist, 2009: 124). Differentiation is made between two main types and levels of monitoring. The types of monitoring are: implementation of monitoring, which tracks results at the input; activity; and output level; whilst result monitoring focusses on tracking results at the outcome and impact level (Kusek & Rist, 2004: 98).

The above discussion is best illustrated in figure 2.4 below where the types of monitoring, focus areas as well as the levels are illustrated.

**Table 2.3: Types of foci of results-based monitoring**

|                                  |                    |  |
|----------------------------------|--------------------|--|
| <b>Results monitoring</b>        | Goal (impacts)     | Long-term, widespread improvement in society             |
|                                  | Outcomes           | Intermediate effects of outputs on clients               |
| <b>Implementation monitoring</b> | Outputs/services   | Products and services produced                           |
|                                  | Activities         | Tasks personnel undertake to transform inputs to outputs |
|                                  | Inputs (resources) | Financial, human, and material resources                 |

*Source: Kusek and Rist (2004: 99)*

Rakoena (in Rabie, 2011) suggests a framework that can assist in tracking the above described process as shown in Table 2.4 below.

**Table 2.4: Example of a project M & E sheet**

| <b>Programme/project name/code:</b>           |          |              |                       |                     |       |          |                                  |                             |           |         |
|---|----------|--------------|-----------------------|---------------------|-------|----------|----------------------------------|-----------------------------|-----------|---------|
| <b>Programme/project overall objective:</b>   |          |              |                       |                     |       |          |                                  |                             |           |         |
| <b>Implementing agency</b>                    |          |              |                       |                     |       |          |                                  |                             |           |         |
| <b>Responsible programme/project manager:</b> |          |              |                       |                     |       |          |                                  |                             |           |         |
| <b>Project</b>                                | Project  | Key project  | Project cost          |                     | Pilot | Project  | Project impact (lessons learned) |                             |           | Remarks |
| <b>purpose</b>                                | coverage | stakeholders | Planned project costs | Actual project cost | area  | duration | failures                         | Corrective measures adapted | Successes |         |
|   |          |              |                       |                     |       |          |                                  |                             |           |         |
|   |          |              |                       |                     |       |          |                                  |                             |           |         |

*Rabie, 2011: 99*

The diagram above depicts a typical format of a monitoring and evaluation sheet useful for capturing M & E project information.

De Coning (2015) suggested monitoring results collected should be released on a quarterly basis so as to assist with annual evaluations. The next step indicates the introduction of the “E” (evaluation) in M & E, as the previous analysis has been focussed on the “M” (monitoring) in M & E (Kusek & Rist, 2004: 115–116). The next section describes the use of the various ways in which M & E system products can be used.

### **2.10.7 Step 7: The role of evaluations**

Kusek and Rist (in De Coning & Rabie, 2014: 251) differentiated between three main roles of evaluations namely to provide information on (i) strategy – the evaluation of the intent itself before operationalisation; (ii) operations – formatively (during the implementation of a strategic programme) and summatively (at the end of a strategic programme – judgement on merit); and (iii) learning – for knowledge generation and lessons learnt. From the above described roles of evaluation, it can be seen that the uses of evaluation can extend to being used as inputs or references of other policies, programmes and projects. Lopez-Acevedo, Krause, and Mackay (2012:xiii) seems to concur when they indicate that “an M & E system that is embedded in the policy decision-making process is the tool that allows governments to learn, decide, and allocate resources”. From this point of view it seems that having an M & E system is not an option but a necessity.

### **2.10.8 Step 8: Reporting findings**

A report containing the findings of the relevant monitoring and/or evaluation findings is one of the key products of an M & E system. Atkinson and Wellman (in Rabie, 2011: 101) differentiated between “three ways of reporting, namely (i) overview reporting, indicating quantitative programme performance progress; (ii) exception reporting, indicating any matters outside the expected scope; and qualitative (narrative) reporting. Rabie further stated that public service management have a duty to provide financial and performance reporting against strategic plans of their respective institutional formations. Morra Imas and Rist (2009: 129) advised against “sweeping statements” in the language of reports and indicated that the report should rather stick to comparisons of the baseline results and indicators. This way the report is grounded on factuality and therefore, set up to be viewed as credible and better utilised.

### **2.10.9 Step 9: Using findings**

The utilisation of M & E system-generated findings is what it is all about. Kusek and Rist (in Rabie, 2011: 104) pointed out areas or institutional functions where findings can be used, namely (i) to enhance accountability, (ii) to prepare a budget, (iii) to make decisions, (iv) to make strategic and operational improvements, (v) to improve service delivery, and (vi) to enhance the institutional image. The above list is duplicative but the point is made that there can be as many uses as the institutional imagination and innovation can manage. The usage of findings is not without its challenges though. De Coning (2015) indicated that if the release of findings is not strategically timed, opportunities could be missed unless the findings release cycles are aligned with the relevant decision making platforms like Cabinet *Legotlas* and *Bosberade*, etc. The importance of identifying the market or demand for data is highlighted by Weiss (in Morra Imas & Rist, 2009: 15), where they emphasised that “if you cannot identify and articulate the primary intended users and uses of the evaluation, you should not conduct the evaluation”. This is a further warning that “unused evaluation is a waste of precious human and financial resources”. The implications of this are serious in terms of the *Public Financial Management Act, 1999* (Act 1 of 1999) which discourages fruitless expenditures of state resources. This brings us to the last step of Kusek and Rist’s ten steps of designing, building and sustaining M & E systems, namely sustaining the M & E system within the institution.



### **2.10.10 Step 10: Sustaining the M & E system within the institution**

This assessment concludes with Kusek and Rist's (2004) tenth step, which is about sustaining the results-based M & E system. In the context of this study, sustainability is described as the perpetuation of value including the intended results derived from the established M & E system (Mackay, 2007: 143). The United Nations Development Programme (UNDP) (2002: 170) concurred and stated that the assessment of sustainability involved looking at social, economic, political, and institutional conditions required for the survival of the system. From this description of sustainability, it is clear that this is more of a continuous process than an event. Kusek and Rist (2004: 151) noted that the process of sustaining an M & E system is a long-term commitment and requires particular attention on six key components. Some of the elements to sustain an M & E system include (i) demand, which is created by ensuring that steps 1 to 9 have been methodically followed and that the system responds to real needs and is part of a long-term strategy, (ii) defining clear roles and responsibilities so that each individual, group, section, department and organisation within the institution understands the value they need to bring to sustain the system whilst supporting the institution, (iii) providing trustworthy and credible information – this speaks to transparency and independence strengthened by a wide spectrum of participation of both state and non-state role-players to ensure sustained trust in the information that comes out of the system, (iv) accountability in relation to the institution and all its parts towards all its stakeholders where necessary acknowledging and addressing any deviations from agreements and values deviated from, (v) capacity required for the sustainability of the system would have been assessed in step 1, together with all the other requirements including financial, informational, human resources and political. De Coning (2015) argued that there is no sense in starting a system with a “big bang” as opposed to starting small and scaling it up as you have to ensure that there is sound technical and managerial capacity to sustain the system. The last of these requirements for the sustainability of the system is the introduction of incentives, which again would have been assessed in step 1. In fact, both incentives and disincentives are said to be necessary components to encourage desired performance towards sustaining the system whilst disincentives would serve to dissuade people working against the agreed governance and value sets underlying the system's sustainability (Kusek and Rist, 2004: 132–154).

Describing the whole-of-government approach as a “broad-based, comprehensive establishment of monitoring and evaluation across the government”, the World Bank (in Morra Imas and Rist, 2009: 52) further cautioned that this whole-of-government framework could take up to ten years to institutionalise “in a sustainable manner”. This signals the long term perspective that is needed in developing M&E systems as these systems need to be geared to monitor performance progress of such initiatives as the one discussed above.

The research chose the Kusek and Rist’s “*Ten Steps to A Results-Based Monitoring and Evaluation System*” as an assessment framework due to its lucid, detailed and simplicity.

What becomes clear in the above assessment of an M & E system is that it may not be enough to design, build and have an M & E system as the “so what?” question (Kusek and Rist, 2004: 152) has not yet been addressed. To attempt answering this question and to begin to respond to the overall problem statement of the study, the following section looks at assessing the final step from the perspectives of (i) governance, (ii) value system, (iii) structural arrangements, (iv) human resources, (v) training and development, (vi) intergovernmental relations and (vii) participation of relevant stakeholder (Hlatshwayo and Govender, 2015:92-93). The next area discussed the institutionalisation requirements in details.

## **2.11 INSTITUTIONALISATION OF M & E SYSTEMS**

Hlatshwayo and Govender (2015:93) noted that governments tend to use M&E institutionalisation as an approach to boost institutional capacity, skills, process development, structures and systems. This study looked at capacity building as key part of the assessment and the case study findings and subsequent recommendations.

The literature reviewed in the previous sections highlighted three key components of the process of establishing a monitoring and evaluation system, namely (i) M & E framework design, (ii) M & E system process conceptualisation, planning and design, and (iii) building the required capacity for institutionalisation and sustaining the M & E system (Cloete, De Coning and Rabie, 2014: 253). The process described in the previous section can only succeed if and when augmented with key elements necessary

to land and cement the system process in manner that intertwines it within the existing organisational arrangements.

Institutionalisation is described as a process of embedding learning that has occurred by individuals and groups into the institutions of the organisation, including systems, structures, procedures and strategy". Mackay (2007: 23) agreed that the institutionalisation of M & E is one of the key characteristics describing successful M & E systems. Put differently, an M&E system cannot be regarded as successful until it has been institutionalised. Mackay further noted his measures of success as: Utilisation, good quality M & E information and sustainability.

It is clear from the determinants discussed earlier that the task of institutionalising and sustaining M & E systems is a complex task that requires a network of arrangements internal and external to the organisation concerned.

### **2.11.1 Governance and participation**

(Kambuwa and Wallis in (2002) in Hlatshwayo and Govender (2015:92) noted that M&E institutionalisation assists governance and participation by improving participatory implementation and accountability of governmental programmes. Rossi *et al.* (2004:56) concurred when noted that stakeholder participation assists the M&E system in that it keeps the processes focussed. The extent to which the WCED M&E system accounts to and involves the relevant stakeholders was assessed as part of this study.

Governance is described by various people in various ways. The PSC simply views governance as behavioural alignment to the constitutional provisions of section 195 (Public Service Commission, 2008:21). Pointing to similar elements, Kusek and Rist (2004) highlighted credibility, ownership, maintenance and management as some of the key elements for a successful results-based M & E system. Frederickson, Smith, Larimer and Licari (2012: 222) took a broader view of governance and argued that governance descriptions, like networks, are inter-organisational and inter-jurisdictional cooperation, public-private partnerships, and out-contracting essentially revolving around the institutional change.

Responding to capacity for sustaining government, Cloete in the Public Service Commission (2008: 21), had called for "a coherent good governance measurement

programme that should be developed as a matter of urgency as an integral part of a more encompassing M & E programme in South Africa”. From a “sustainable developmental point of view”, Hamza and Bardill (2009: 115–139) adds and argues for better collaboration between the higher education fraternity and the public service institutions like the National School of Government (NSG) and various chapter 9 institutions charged with the responsibility of good governance in developing and sustaining capacity amongst the public service workforce.

The role of policy is also important as government programmes are interpreted from policies and strategies. Public policies can serve as key determinants of a successful programme for institutionalising M & E systems as argued below.

The ever-changing socio-economic and political circumstances experienced through increasing demands for service delivery in sectors like health and education, require constant policy assessments to guide and ensure that service delivery programmes are responsive to these pressures (Ijeoma, 2013: 207). De Coning (in Ijeoma (2013: 208–209) argued that the definition and understanding of public policy was contextual and could not be universally applied. One can include the results of monitoring and evaluations of service delivery programmes and projects as this would be of interest to the specific needs of the beneficiary of such an M&E system. The design of service delivery programmes after policy decisions have been made, gives effect to public policies (Public Service Commission, 2008: 9). Referencing Burger, Jonas (2011: 114) indicated that the determination of standards and norms, of which governance and M & E are key elements of forms part of the Minister of Education’s mandate.

In conclusion, De Coning (2015) stated that the “C” in governance stands for civil society, without which institutionalisation of government systems means nothing as it is the developmental needs of civil society that the government systems like M & E or FSDM programme need to respond to. Governance therefore is not a mere adherence to the constitutional and democratic requirement, but also a key capacity consideration for a network of grassroots organisations like the South African Monitoring and Evaluation Association (SAMEA), African Peer Review Mechanism (APRM), Open Government Partnership (OGP), Higher Education Consortiums (HEC), Community-Based Organisations (CBOs), Non-Governmental Organisations (NGOs) and others serve as part of a wider system of monitoring and evaluation.

### 2.11.2 Value system

Concepts and practices related to governance, inclusivity, and accountability would be meaningless without being underpinned by values spoken, written and manifested behaviourally. This section looked at the elements that serve as policy provisions from which values for and M&E system could be drawn from.

The values guiding the public administration in the the Constitution of South Africa (Act 108 of 1996), include:

- A high standard of professional ethics must be promoted and maintained.
- Efficient, economic and effective use of resources must be promoted.
- Public administration must be development-oriented.
- Services must be provided impartially, fairly, equitably and without bias.
- People's needs must be responded to, and the public must be encouraged to participate in policy-making.
- Public administration must be accountable.
- Transparency must be fostered by providing the public with timely, accessible and accurate information.
- Good human-resource management and career-development practices, to maximise human potential, must be cultivated.
- Public administration must be broadly representative of the South African people, with employment and personnel management practices based on ability, objectivity, fairness, and the need to redress the imbalances of the past to achieve broad representation (Republic of South Africa, 1996: 103).

The eight Batho Pele principles (consulting users of services, setting service standards, increasing access, ensuring courtesy, providing more and better information, increasing openness and transparency, remedying mistakes and failures, and getting the best possible value for money) are underpinned by three Batho Pele value sets, namely (i) we belong, (ii) we care, and (iii) we serve (Department of Public Service and Administration, 1997: 8–9).

These values need to be leader led where the entire organisation's leadership models the values needed to institutionalise systems within the organisation, whilst sending a message to strategic partners and clients that the organisation is an open system to be

influenced and to contribute meaningfully to its environment. The processes, including the M & E processes discussed in the previous section, need to insure that the system's issues are managed effectively to avoid downtime and other risks to the system falling into a state of disuse. Incentives need to be put in place and managed to encourage the right behaviour beyond compliance. Information in and out of the systems needs to be managed and escalated for timeous decision making.

These principles are meant to guide the behaviour of all public servants in implementing government service delivery systems, including M & E systems. The rest of this section will look into partnership arrangements.

The current problem statement for government is that “the participation of citizens in monitoring government service delivery is *ad hoc* and in many sectors not present. It is currently not valued as a way to enhance the efficiency and productiveness of service delivery” (The Presidency, 2013: 5).

De Coning (2015) argued that participation should happen throughout the process of system design, development and sustaining processes, including the institutionalisation of it. Kusek and Rist (2004: 139) added that “bringing stakeholders into cooperation with government generates trust amongst all participants”. This trust translates into relationship capital, which can serve as the demand for information of government systems, which is necessary to institutionalise M & E systems so that they are sustainable.

Chapter 3 of the the Constitution of South Africa (Act 108 of 1996), makes provision for cooperation between and within the three spheres (national, provincial and local) of government and departments in a manner that ensures the success of government efforts such as the design, building and institutionalisation of GWM & E systems and supporting systems (South Africa, 1996: 21). It is clear from this provision that the cooperation to improve service delivery is a constitutional matter that needs to be given effect in the institutional arrangements of the various provinces and municipalities, setting the M & E systems up for success.

Closely related to the structural arrangements discussed earlier, is the concept of Intergovernmental Relations (IGR), which is defined as “the various components of the governance, administrative and fiscal arrangements operating at the interface between

national, provincial and local governments” (Republic of South Africa, 2008: 7). This is clearly a national-level structural arrangement that can serve as a capacity arrangement from a cooperative governance point of view. De Coning suggested that service level agreements (SLAs) could be a way of ensuring that information is requested and exchanged between the these spheres of government as well as the various sector departments, to ensure that the required information is secured for processing in the M & E system. Effective cooperation to establish the M & E systems will depend on the value proposition offered and accepted by the decision makers in the three spheres of government and relevant departments.

Ansell and Gash (2008: 563) argued that collaborative governance, partnerships, as well as participatory and cooperative practices are likely to continue as these may not be passing fads but demands from stakeholders.

Ijeoma (2013: 100) differentiated between consultation and participation, highlighting that, although both elements are important in mobilising the community involvement, participation is about hands-on involvement of the interested and concerned entities at the conceptualisation, decision making, implementation and sustaining stages of the intervention. Consultation, on the other hand, concerns the process of seeking the inputs of the interested parties in an interactive manner throughout the process until the issue is settled. Illustrating the point made by Ijeoma in their discussion of ‘a new typology of monitoring and evaluation approaches”, Rabie and Cloete (2009: 15–16) highlighted a methodology of involving key staff members as participants in the entire process of evaluation being conducted. They further aptly referred to this approach as the participatory approach.

Viewed from a capacity requirement point of view, the participatory perspective is not just a nice-to-have or an appeasement exercise of people who want to be involved, but is a requirement to ensure ownership by staff members and the beneficiaries of the system or process involved. The next section looked at structural arrangements necessary for M&E institutionalisation.

### **2.11.3 Structural arrangements**

An organisation can be seen as a deliberate coordination entity managing people, policies, strategies and plans, processes, structures and practices that are geared towards

the achievement of a common goal or set of goals that need to be monitored and evaluated for effectiveness on a continuous basis (Robbins & Barnwell, 2006: 6). The policies, strategies and practices referred in this paragraph need coordinated structures for successful implementation and institutionalisation.

The policies and strategies serve as catalysts for an organisational design upon which to build, and where necessary, to reshape appropriate structures through which the organisational goals can be achieved (Robbins & Barnwell, 2006: 8).

Various structures are necessary to ensure the processes and organisational goals referred to above are accomplished. An organisational structure is described as “the degree of complexity denoted by levels of the structure, formalisation denoted by the nature and number of rules and regulations, and centralisation denoted by distance of decision makers and points of service delivery in an organisation” (Robbins & Barnwell, 2006: 7). It is clear from the above discussed organisational elements that organisations and the nature of organisational structures are influenced by the orientation of organisational theories and that the nature of the organisational arrangement is a key determinant of effective and sustainable organisational processes.

The assessment of structural arrangements need to be viewed against the challenges and opportunities offered by each permutation as trades-offs are involved in placing an M & E system within an institution in a way that ensures sustainability and appropriate institutionalisation. Mackay’s study of M & E best practices noted four main functions of M & E, namely (i) policy development, (ii) evidence-based policy making and budgeting, (iii) management performance, and (iv) accountability (Mackay, 2012: 21). If the adage “structure follows form” then it follows that an organisation should ensure that in one way or another, these key functions are clearly and sufficiently depicted in the organisation’s structural arrangements.

The discussion of governance in the previous section also indicated that, besides the internal organisational structure, governance and institutionalisation refers to a wider context than the boundaries of the organisation. The interconnected of the organisation to its broader environment needs to be reflected in the structural consideration as part of the sub-configuration indicating lines of how the organisation accounts to the stakeholders. It was also noted in step one of the processes described earlier, that



communication is vital in the process of establishing and sustaining of M & E systems. The structural configuration needs to enable this communication as well as the technical and human interface required to make communication and ideas flow throughout the organisation.

Mackay (2006: 5) argued for an M & E system that is “centrally-driven, by a capable ministry”. As indicated above, and although it is still early days to assess whether centralisation will work or not for South Africa, the GWM & E system is located in the highest office in the country, namely the Presidency. Structural or institutional arrangement need to be carefully considered against the required environmental demands for “objectivity, credibility and rigor of the M & E information that the system produces” (Mackay, 2006: 8). De Coning (2015) concurred with the views expressed above and warns against locating the system within line management structures due to independence considerations. Rabie (2011: 108) agreed, indicating that institutional problems can be avoided by keeping the system out of undue political influence and to sustain cooperation with incentives, among other measures.

A deduction that can be made here is that a decision around where and who will be responsible for the system needs to be thought through carefully. A decision here is around centralisation or decentralisation. These two options may require different management arrangements to ensure functionality.

#### **2.11.4 Human resources**

Ijeoma (2013: 150) highlighted key sources required for system institutionalisation as including human resources management functions, strategy and planning for public sector human resources, sourcing of suitable human resources, utilisation, training and development of public sector employees, remuneration and caring for the public sector employees, as well as facilitation of the management of the employee relations within the public service. The capacitation of the state to implement all service delivery systems is provided for in a number of frameworks, most noticeably in Chapter 10 of the *Constitution* (1996), where section 195(1) (h) in particular emphasises human resources capacity as the key to the enablement of a sustainable service delivery. Additional legislative frameworks like the *White Paper on Human Resources Management in the Public Service* (1997) and the *White Paper on a New Employment Policy for the Public Service* (PNEPPS) (1997) puts extra emphasis on “values

governing the sustainable development of human capital”. Some of the other elements of this policy are efficiency, effectiveness, and flexibility. It seems that the human factors of the staff, clients and the organisational needs are taken into account at all levels judged by the emphasis on decentralisation to ensure that capacity is distributed closest to the service delivery points. This improved accessibility may ensure participation and cooperation with relevant stakeholders like unions and professional bodies. The *Skills Development Act* (97 of 1998), coupled with the *Skills Development Levies Act* (9 of 1999), are meant to boost the human resources capacity to cope with the developmental challenges facing South Africa (Ijeoma, 2013: 136–137). The nature of the human resources challenge in the public service is such that a mixture of both administrative and technical skills is needed to establish and sustain M & E systems (De Coning, 2015).

The institutionalisation and sustaining efforts of an M & E system should be properly planned in terms of all the types of resources, including human, financial, material, and technology. Rabie (2011: 109) pointed out that skills constraints may be in the form of unavailability of qualified people “to conduct the evaluations”, whereas time constraints may show up in delays of timeously responding to stakeholder needs.

#### **2.11.5 Capacity building**

The World Bank (Bank for Reconstruction and Development/World Bank, 2005: 5) noted that the process of capacity building is growing in keeping with the changes, although it is not clearly described as a study. Various agencies have, however, attempted to describe capacity building in a number of ways. CIDA (Canada) (in Bank for Reconstruction and Development/World Bank, 2005: 6) described capacity building as developing individuals, groups and organisations towards attaining organisational goals. Further examples provided are those of the GTZ (Germany), which was a similar example to the CIDA description, with an element of including societies as part of the beneficiaries. The European Commission and the United Nations Development Programme (UNDP)’s descriptions were more comprehensive by including capacity outcomes like sustainable creations, retention, utilisation capacity, reduced poverty, enhanced independence, international reputation, ownership and self-esteem. The above descriptions of capacity building provides for a clearer understanding of what the capacity building process should result in.

Capacity building is further described in terms of its key features, which include (i) human capacity, focussing on the performance tasks including analysis, design, implementation and monitoring of results; (ii) organisational capacity, focusing on the collective performance of tasks related to organisational goals, strategies, structures, processes, systems staffing and budgeting requirements; and (iii) institutional capacity which involves policy creation, governance leadership, incentives communications, community engagement, accounting to multi-national, national and provincial, and local stakeholders (Bank for Reconstruction and Development/World Bank, 2005: 7). The areas discussed above indicate the vastness of the scope of capacity building.

The evaluation approach taken by The World Bank (Bank for Reconstruction and Development/World Bank, 2005: 9) was to use the results-chain where they looked at the assessment of capacity and the capacity interventions as inputs/processes followed by looking for increased demand for effective public sector performance coupled with improved institutional frameworks as outputs. Improvements in accountability of the critical functions like service delivery were viewed as outcomes, whilst improved quality, sustainability in public services and finances were used to judge outcomes; with poverty reduction and sustainable development being viewed as impact. The World Bank further indicated that the literature review and various examinations, including case studies and field visits to the areas where capacity building interventions were implemented showed good results. This process of evaluating the success of capacity building seems like a good attempt to measure the intervention, although the results become somewhat ambiguous in the end. It is, nonetheless, a good illustration of how capacity building evaluations could be approached, however difficult the task seems given the movement of people in and out of the system coupled with the speed of change.

De Coning (2015) emphasised the need for both technical and managerial capacity in the process of designing, building and sustaining capacity development. The UNDP describes capacity development as:

*“the process by which individuals, groups, organisations and countries develop, enhance and organise their systems, resources and knowledge – all reflected in their abilities (individually and collectively) to perform functions, solve problems, and set and achieve objectives. Capacity development is also*

*referred to as capacity building or strengthening* (United Nations Development Programme (UNDP), 2002: 99)

Capacity is closely related to resources, which have already been discussed as necessity in the system's institutionalisation. The strategic partners and other role players in the IGR system and NGO coalition partners can play a vital role in alleviating the capacity and skills constraints of government. Some of the NGO partners are closer to the service delivery space than some of the government workers and are, therefore, optimally positioned to intervene earlier in some of the service delivery issues in the system.

Government seem to be using existing public servants in its capacity building strategies. Various human resource management capacity building policy frameworks exist, including *The Constitution, Public Service Act, National Qualifications Framework Act, Skills Development Amendment Act, Skills Development Levies Act, National Human Resources Development Strategy for South Africa, National Skills Development Strategy, Human Resources Planning Strategic Framework* and the *National Development Plan 2030* to guide the process of capacity building at least from a skills training point of view. These policy frameworks lay a good base for capacity building with the various departments within the public service.

It is clear from the above-mentioned capacity development frameworks that from a policy framework point of view, capacity building arrangements have a good base from which to move within the various departments like WCED.

#### **2.11.6 Professional leadership and management support**

Various definitions of leadership exist. DuBrin (2010: 2–3) noted key elements of leadership to include the ability to inspire confidence, support all who work towards the achievement of organisational goals, and influence direction.

Highlighting the role of leadership and management change situations, Kotter (1996: 26) differentiated leadership focus from the management focus. He argued that leadership support is important on issues pertaining to the direction establishment, people alignment, and inspiration and incentivisation of people to be vision- and results oriented. Kotter also noted that the focus of management is more on supporting operations with vision attainment like short- to medium-term operational and budget planning, human resources management and problem control. One way of gauging

effective leadership and management support, would be to see trends indicating whether evidence-based M & E information is used for outcomes-based decision making (De Coning & Rabie, 2014: 258). De Coning and Rabie further indicated that at multi-national levels, the chairpersons of the AU, EU, and UN would mobilise support for an M & E system. At national and sub-national levels, the president, MECs, HoD and DGs are expected to commit to systems like this by encouraging demand, utilisation, results-based programme performance and evidence-based programme improvement reports. Looking at leadership from a public administrative theory in general and institutionalism framework in particular, Frederickson, Smith, Larimer and Licari (2012: 71) reiterated the centrality of leadership, management and professionalism in institutionalisation processes.

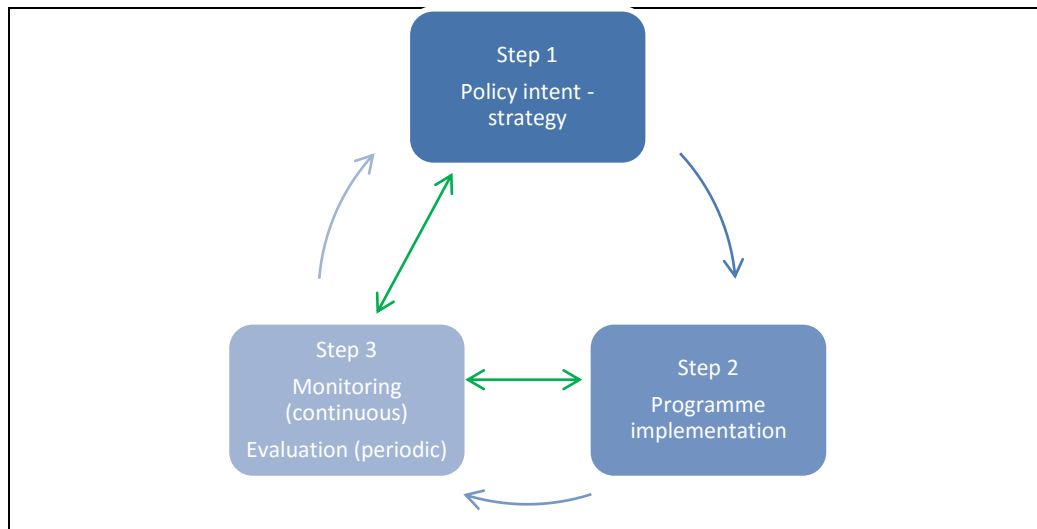
A framework like the *Ten Steps to a Results-Based Monitoring and Evaluation System* that is used as framework in assessing the establishment process and institutionalisation of M&E system is generally accepted as a result-based system (Cloete, Rabie and De Coning, 2014:286). This may imply that the management of this system should mainly be results based. A range of management support systems are necessary to ensure that the M & E processes are managed in order to contribute towards a results-based M & E system. Kusek and Rist (2004: 228) described results-based management (RBM) as a management approach that views output, outcomes and impacts as results of performance that need to be managed. Describing the role within the context of management paradigms, Stoker (2006: 44) differentiated between three types of public management paradigms, namely (i) traditional public administration, which focusses on inputs that need to be administered from a politically controlled bureaucracy into M & E systems; (ii) new public management, which focusses on the management of inputs and outputs to achieve efficient service delivery; and (iii) public value management, which focusses on outcomes and impact like “service delivery and systems maintenance”. Stoker further noted that the traditional public administration approach subscribes to the Weberian thinking where “political leadership, political party and bureaucracy” are key institutions to ensure governance process in complex systems. The new public management approach sees the management of service delivery programmes and capacity, in particular being better management through a governance network consisting of government at the central level whilst other public and private sector role players are mobilised to performance various roles within the service

delivery system without political interference. Stoker (2006) noted that whereas the public administration approach puts the politician at the centre managing the public administration, the public management approach frees the managers to manage and account for their decisions to the politician where necessary. Lastly, public value management sees both preceding approaches as falling short in taking a results-based view of what the public values most and propose effectiveness as a measure in delivering value. Stoker (2006) argued that all three of these public management approaches need a system that monitors and evaluates them against how they respond to questions related to efficiency, accountability and equity. One of the management approaches viewed as useful for the institutionalisation of M&E systems is the use of incentives (Mackay, 2012: 220) Mackay notes that the Canadian experience of M&E systems implementation involved incentives to stimulate interest and movement towards institutionalisation. Mackay further notes that these incentives may be in the form of required compliance, regular request for information, high utilisation of M&E information for decision making and supportive management.

It is clear from the above that management needs to be hands-on in the process of implementing this system, especially during the early days of institutionalisation. A deduction from the above assessment is that for all the other elements mentioned as key in ensuring institutionalisation and sustainability of an M & E system, leadership and management style and culture need to be re-orientated and tuned into results-based styles and culture.

## **2.12 A MACRO LEVEL CONCEPTUAL FRAMEWORK OF M & E**

De Coning (2015) outlined a three-step process to illustrate a high-level conceptual framework of M & E in the context of institutionalisation.



**Figure 2.3: A three-step high-level M & E conceptual framework**

*De Coning, 2015*

The above figure denotes the interplay between the three steps. A brief assessment is provided below of the three elements involved. The two green arrows indicate the direct and continuous interaction between M & E and the policy and implementation elements.

#### **2.12.1.1 Policy intent – strategy planning**

The policy is what tells us what to do and strategic planning is also a more detailed process that may result in an output like a “white paper”, which is intent. This intent needs to be translated into some action or process to deliver the intended government product or service.

#### **2.12.1.2 Programme implementation**

The programme implementation step is where the intent or policy is converted into the intended government product or services, using a set of instruments to implement the intention. These instruments include (i) strategies, (ii) planning such as Medium Term Expenditure Framework (MTEF) & Integrated Development Plans (IDPs), (iii) programmes and projects, (iv) operational management, and (v) private sector contractors (De Coning, 2015). De Coning added that this area, coupled with institutionalisation, which includes elements like governance, leadership, HR, Intergovernmental Relations (IGR) as well as participatory policy and planning, needs considerable attention to ensure the sustainability of a system.

### **2.12.1.3 Monitoring and evaluation**

For De Coning, monitoring and evaluation is but one type of evaluation as the various performance assessments currently being carried out in organisations are also evaluations. The point of this step is that the policy intent and strategic objectives, as well as the resultant programme implementation, need to be evaluated. All evaluation needs to take place against the objectives of the programme concerned.

### **2.12.2 Key elements of an M & E system**

In the context of M&E systems, the interplay between organisational arrangements and institutional arrangements is important as it promotes the institutionalisation of M&E systems (Boyle, 2005:5). Plaatjie and Porter, (2006) in Hlatshwayo & Govender, (2015: 93). noted the connection between institutional M&E and organisational processes like policy making and budging process highlighting evidence as the a critical requirement in these processes. The establishment of an M & E system requires three elements, namely (i) process, (ii) framework (indicator framework), and (iii) institutional arrangements (De Coning, 2015). For De Coning, the process element of the system is important as it provides a systematic roadmap in the successful establishment of a sustainable M & E system.

This framework is described as consisting of (i) objectives, (ii) outputs, (iii) outcomes, (iv) indicators, and (v) data. De Coning emphasised the point that throughout the process, and at the framework indicator development point in particular, the relevant stakeholders need to partake so as to ensure full ownership of the process during the establishment as well as at the point of system switch-on and beyond.

The third element of the system discussed and illustrated by de Coning, is the institutional arrangement itself, which is important to capacitate the process with sub-elements like (i) governance, (ii) leadership and management, (iii) policy and planning, (iv) human resources capacity, (v) intergovernmental relations (including intergovernmental relations between sector departments), and (vi) participation arrangements of relevant stakeholders throughout the establishment process (De Coning, 2015).



## 2.13 CHAPTER SUMMARY

Elements from chapter one had some influence in the approach of this chapter as chapter one outlined the background, rationale and objectives of this study. The purpose of this chapter was to review the available theories and models related to M & E systems with the view of identifying and understanding the key approaches and perspectives to informing a study.

The findings were that the discipline of M & E has and continues to grow and results in useful knowledge with a number of theories being postulated for the benefit of developing countries in particular. Of particular interest were the informants of the considerations that need to be born in mind when approaching the task of designing and developing M & E systems.

These insights were instructive to understanding the determinants for successful institutionalisation of M & E systems beyond just the design and the establishment thereof. Of particular interest was the extent to which the approaches and perspectives have relevance for the context of the study, specifically when one considers international good and best practices of the countries studied by Mackay (2007) to assess M & E system effectiveness.

Chapter two further introduced a number of concepts, theories and perspectives upon which the assessment of the institutionalisation of M & E system can commence. This section, therefore, assessed institutional arrangements in view of the concepts, theories and perspectives. Institutionalisation was defined, together with the relevant terms for clarity and context. The assessment of requirements for institutionalisation was done focussing on key determinants for successful institutionalisation of M & E systems.

The key emerging institutionalisation issues distilled from the literature review were the following:

- The extent to which **governance** requirements are considered to ensure full participation and clear roles and responsibilities of all stakeholders in the systems design and beneficiation;
- The extent to which M & E systems' accountability, transparency, and integrity is institutionalised and evidenced by the organisational **value system**.

- The extent to which organisational **structural arrangements** locates and positions the M & E system for success in the long term;
- The extent to which M & E system **capacity**, in the form of (a) **human resources**, (b) **training** and **development** (c) **professional support** is planned and executed, leveraging the inter-governmental and inter-departmental mechanism implementation in a sustainable manner.

**Institutionalisation** emerged as a necessary process to ensure that M & E system values, policies, mechanisms, structures, practices and culture is part of an organisational programme implementation rhythm. Institutionalisation, therefore, is an important issue to assess the extent to which M & E systems are institutionalised with the Western Cape Education Department.

In addition to the requirements discussed above, legislative and policy arrangements are noted as fundamental requirements for the establishment and institutionalisation of M & E systems in the public sector (Mackay, 2012: 41). Whereas the previous chapters assessed the theoretical aspects of the research, the following chapter focused on some of the relevant existing M & E policy and legislative frameworks.

## **CHAPTER 3:**

# **OVERVIEW OF M & E POLICY AND LEGISLATIVE FRAMEWORKS**

### **3.1 INTRODUCTION**

This chapter provides an overview of legislative policies and frameworks of M & E in the South African context. The processes of developing these frameworks have been rapid and hurried, spurred by the need to inform and guide the developmental service delivery programme implementation backlogs in this country.

Specific attention was given to how these frameworks contribute towards the successful institutionalisation of M & E systems. This legislative assessment was seen as a continuation of contextualising the research study.

### **3.2 THE CONSTITUTION OF SOUTH AFRICA, 1996 (ACT 108 OF 1996)**

The relationship between the South African Constitution and M&E is that M&E policy frameworks like all other legislative frameworks are expected to give effect to the Constitution.

Through chapter two of the Constitution, which is the Bill of Rights, a rights-based approach is taken, highlighting some basic rights including rights to equality, human dignity, and access to services such as education. The implications of these rights, from an M & E point of view, is that government has a constitutional duty and obligation to put policy, programmes and project delivery systems in place to protect these rights. The Constitution's section 195 to 197 in particular, deals with public administration, which serves as the macro delivery system. Mtshali (2014: 36) pointed out that the role of public administration is a key pillar for M & E. He further makes reference to the values and principles that underpins public administration. These principles are discussed further under the relevant legislation frameworks that give effect to the constitutional principles and provisions. The importance of values as part of the determinants for successful institutionalisation and management of M & E systems, are discussed in chapter two of this study. These values are also emphasised in chapter ten, section 195(1) of the Constitution, which highlights the values and principles approach to public administration arrangements.

Section 195 concludes by referring to an institutional arrangement, indicating the various constitutional entities that are responsible for the monitoring and evaluation of these values and principles. Section 196(a-iv) of the Constitution provides that the Public Service Commission (PSC) is mandated to independently and impartially perform a number of duties including the following:

- institutionalisation of the values and principles outlined in section 195 “...throughout the public service”;
- monitoring and evaluation of organisation and human resources arrangements of the public service; and
- recommendation of public service good practices “to ensure effective and efficient performance”.

In conclusion, the Public Service Commission is but one of the “Chapter 9” institutions responsible for performing administrative oversight. All these institutions perform these roles collaboratively with the assistance and support of the various sector departments. The next section outlines the legislative frameworks that give effect to these values and principles by operationalising them.

### **3.3 THE WHITE PAPER ON TRANSFORMING PUBLIC SERVICE DELIVERY (BATHO PELE WHITE PAPER), 1997**

The purpose of the *White Paper on Transforming Public Service Delivery* (WPTPS) *Framework* (also known as Batho Pele) is to serve as a policy framework and applied implementation mechanism facilitating the transformation of public service delivery (Ngubane, 2005: 46). This framework was developed and released under the auspices of the Department of Public Service and Administration (DPSA) a year after the Constitution was enacted (Rabie, 2010: 8). The approach taken by this framework is process oriented as it focusses on how services are to be rendered espousing eight principles as criteria. The Batho Pele principles were discussed earlier in chapter two. The PSC noted that these principles provide a perspective of how an M & E system can approach the evaluation of service delivery. The Batho Pele values, therefore provide a framework to the various departments on how they should deal with the stakeholders. In chapter two, Cloete, Rabie and De Coning referred to the management support of as one of the “softer issues” required for the institutionalisation of an M&E system. The

Batho Pele principles/values mentioned above provide a framework to underpin and anchor “harder elements” of systems establishment.

The DPSA, through this framework, encourages the various governmental spheres and public entities to incorporate these service delivery-orientated principles in their programme and project indicators. The people-centric approach taken through the Batho Pele principles, influence the monitoring and evaluation approach in that the eight principles form part of what a programme service delivery satisfaction point of view should be. M&E system is an integral part of informing the institution of levels of satisfaction so enabling the organisation to plan and implement programmes that are responsive to the stakeholder needs.

In addition to the eight Batho Pele principles discussed above, the *White Paper on Transforming Public Service Delivery Framework* (Republic of South Africa, 1997: 9) distinguishes between seven transformation priorities as part of the service delivery transformation process. These priorities are institution building and management, representativeness and affirmative action, democratising the state, human resources and development training, employment conditions and labour relations, promotions of service ethos and where necessary, revitalisation and restructuring the public services (Mtshali, 2014: 39).

The importance of governance was highlighted chapter two where collaboration and accountability was discussed as good practice approaches but also necessary to ensure capacity for implementing initiative such as M&E systems. This is also true of the process of transforming an organisation towards being more service delivery results-based. The *Batho Pele White Paper* (Republic of South Africa, 1997) is therefore a key framework guiding values and principles that are useful in influencing Government systems like the M&E systems establishment and institutionalisation.

One of the requirements in the White Paper is the monitoring of delivery against standards and the publication of results. Two assumptions are noted from this requirement in the White Paper. One is the assumption that there is an M&E system that monitors delivery using certain indicators to track service deliver and to delivery results. Morra Imas and Rist (2009: 124) differentiated between two types of monitoring, namely results monitoring, which focusses on outcome and impact levels

on the one hand, and implementation monitoring, which focusses on input, activities and output. They further pointed to the importance of linking the results-based monitoring and the implementation monitoring approach in delivering monitoring. They concluded by highlighting key determinants of a successful monitoring system, which are (i) **Ownership** of the process with governance systems being in place encouraging participation by all relevant stakeholders from planning to completion of the process, (ii) the **management** of monitoring systems including key management processes like planning, organising necessary resources and logistics, leadership practices providing vision and innovation at all times and control of all expenses and risks including monitoring and evaluation, (iii) **maintenance** to ensure functionality at all times as down-time can be a threat to the system and (iv) **credibility** of the individual conducting the monitoring as well as the monitoring process itself.

The other assumption is that there are governance arrangements for communicating the results to the stakeholders. A conclusion is therefore made that this framework very is relevant and should to be taken into account in the design, establishment and institutionalisation of M&E systems in government.

It is clear from the above analysis that the *Batho Pele White Paper of 1997* takes a service delivery approach infused with values and principles of monitoring and evaluation. An additional interesting observation is also the systemic view of knitting the constitutional values and principles into service delivery principles. The eight steps discussed earlier also indicate some congruence with the *Ten Steps to a Results-Based Monitoring and Evaluation System* of Kusek and Rist. The main focus of the Batho Pele White Paper framework was on transforming service delivery. Institutionalisation of M & E systems can be seen to be on the same continuum since both seek some form of improvement in the results of service delivery programmes.

### 3.4 GOVERNMENT-WIDE MONITORING AND EVALUATION SYSTEM

The *Government-wide Monitoring and Evaluation System* (GWM&ES) is discussed in this section as a policy framework that can provide some perspective on the study being undertaken.

Cloete (2009: 1) described the GWM & ES as “a massive implementation programme ... intended to establish a uniform system of monitoring and evaluation across all

spheres of government”. Cloete (2009: 299) further described the GWM&ES methods to be mainly secondary data as it plugs into systems from the various sector departments and provinces. He also noted that the focus of the GWM&ES is on analysing and interpreting the data against policy and strategy information needs as opposed to conducting primary data sourcing itself. This approach seems to signal a decentralisation approach whilst managing the “higher order” (Cloete, 2009) part of M & E.

In his discussion of the emergence of the GWM & ES, Cloete (2009: 298) stated that “until 2005, only individual staff performance evaluations were institutionalised and regularly and systematically carried out in the South African government”. This signals the relative newness of the South African government M & E system.

GWM & ES serves as an overall national information coordination framework for other sectors and provincial systems. This framework is governed by principles, values, methods and practices to integrate government information towards informing results-based policy and programme development and improvement in a decentralised manner.

Some of the key goals of the GWM & EF include the following:

- (i) improved institutional quality of performance information and analysis,
- (ii) improved institutional performance management information, and
- (iii) improved institutional M & E capacity (The Presidency, 2007: 11).

It seems these goals are premised on a number of M&E principles.

This framework takes a principled approach to M & E where they differentiate between seven sets of M & E principles as follows:

- M & E should contribute to improved governance
  - Transparency
  - Accountability
  - Participation
  - Inclusion
- M & E should be rights based
  - Bill of Rights
- M & E should be development-oriented – nationally, institutionally and locally
  - Pro-poor orientation
  - Service delivery and performance

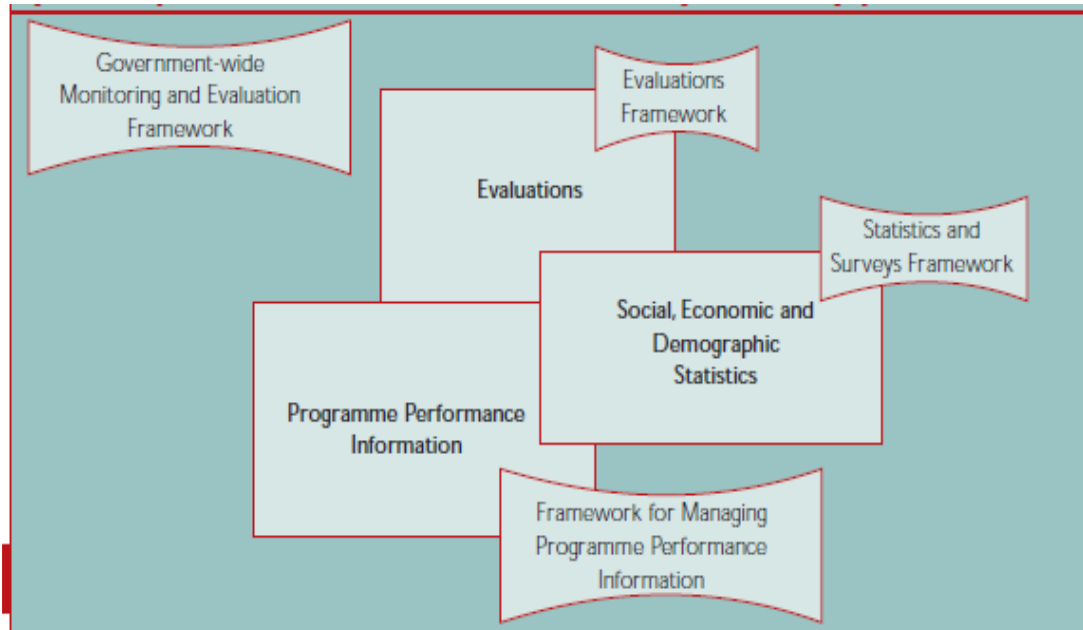
- Learning
- Human resource management
- Impact awareness
- M & E should be undertaken ethically and with integrity
  - Confidentiality
  - Respect
  - Representation of competence
  - Fair reporting
- M & E should be utilisation orientated
  - Defining and meeting expectations
  - Supporting utilisation
- M & E should be methodologically sound
  - Consistent indicators
  - Data/evidence based
  - Appropriateness
  - Triangulated
- M & E should be operationally effective
  - Planned
  - Scope
  - Managed
  - Cost effective
  - Systemic

(Department of Planning Monitoring and Evaluation (The Presidency), 2007:7)

These principles are provided to be incorporated into the various sector and provincial M & E systems, which must be set up for each province.

Each accounting officer, head of the municipality, as well as the chief executive officers of public organisation are statutorily obliged to establish their M & E systems in their respective institutions (Department of Planning Monitoring and Evaluation (The Presidency, 2007: 8). Figure 3.1 below depicts how various data terrains will feed into the GW & ES towards creating a national picture from which users can link into for required information.



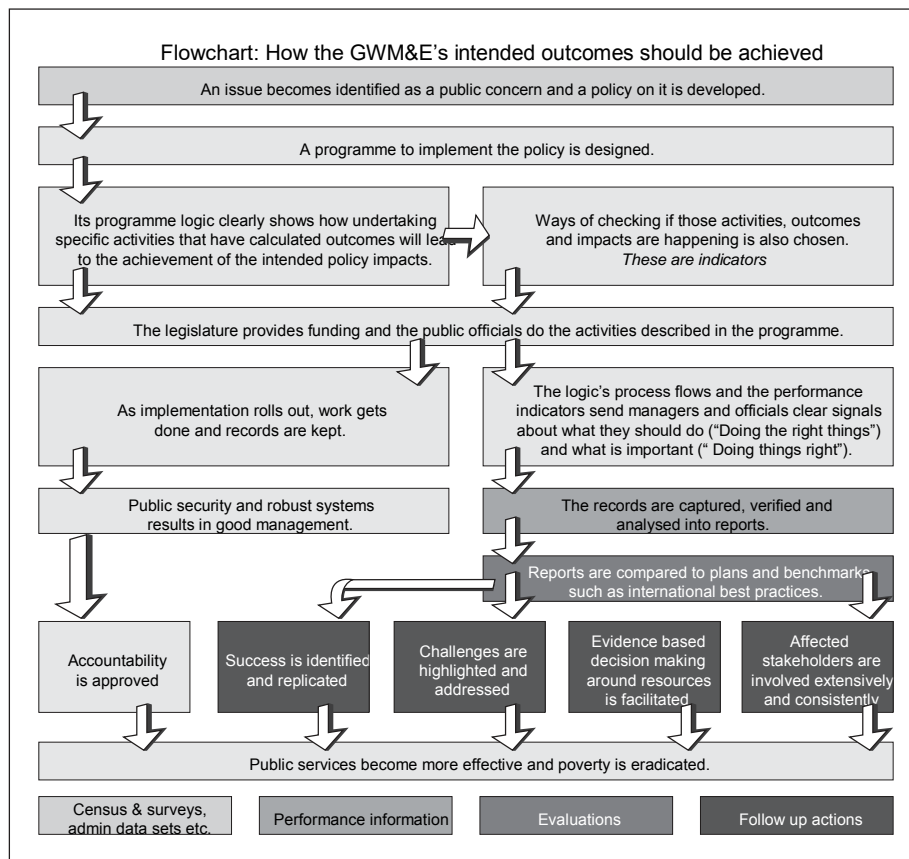


**Figure 3.1: The three data terrains of the GWM & ES policy framework**

*Source: Public Service Commission (PSC) 2008:12*

The data terrains depicted in Figure 3.1 above are guided by their respective policy frameworks, which are also discussed in the following sections.

Figure 3.2 below depicts the process flow of GWM & ES.



**Figure 3.2: GWM & ES outcome process flow**

*Source: The Presidency 2007: 10, Cloete, 2009: 302*

Figure 3.2 above illustrates the parts that contribute to the process of producing GWM & ES outcomes.

The M & E process seems to focus on methods that will ensure that service delivery data is gathered, stored in accessible spaces and shared on a regular basis (Department of Planning Monitoring and Evaluation (The Presidency, 2007: 18-19). The framework is thorough in aligning the various responsibilities to what needs to be done (Department of Planning Monitoring and Evaluation (The Presidency), 2007:20) to ensure some level of ownership at least from the framework point of view. The role players mentioned are the legislators and councillors, executive authorities, accounting officers and programme managers and designated M & E units. What seems to be missing, however, is a list of service beneficiary representatives and other community-based organisations (CBOs) and private sector strategic partners. The approach taken to capacity building in the framework seems to be informed by good and best practices as it mentions capacity development strategies like (i) specialist recruitment and

selection focuses, (ii) partnering with training institutes, (iii) on-the-job training and mentoring, (iv) identification of skills transfer where consultants are being used as well as using M & E forums in addition to learning networks. From an institutional arrangements point of view and related to the capacity building approach discussed above, the approach is to distribute some responsibility to the following institutions:

- The Presidency (DPME) – National leadership and champion of the system
- National Treasury – value for money and investment in key areas
- Statistics SA – information quality
- Department of Public Service Administration (DPSA) – Human Resources & structural capacity champion at national level
- Department of Provincial and Local Government (Act of 2003 at local level)
- National School of Government (NSG) (Former PALAMA) – skills based capacity building
- Office of the Public Service Commission (OPSC) for compliance monitoring
- Officers of the Premiers – Provincial leaders and champions of the M & E systems
- Auditor-General – National Accounting officer for financial and non-financial information (The Presidency, 2007: 18)

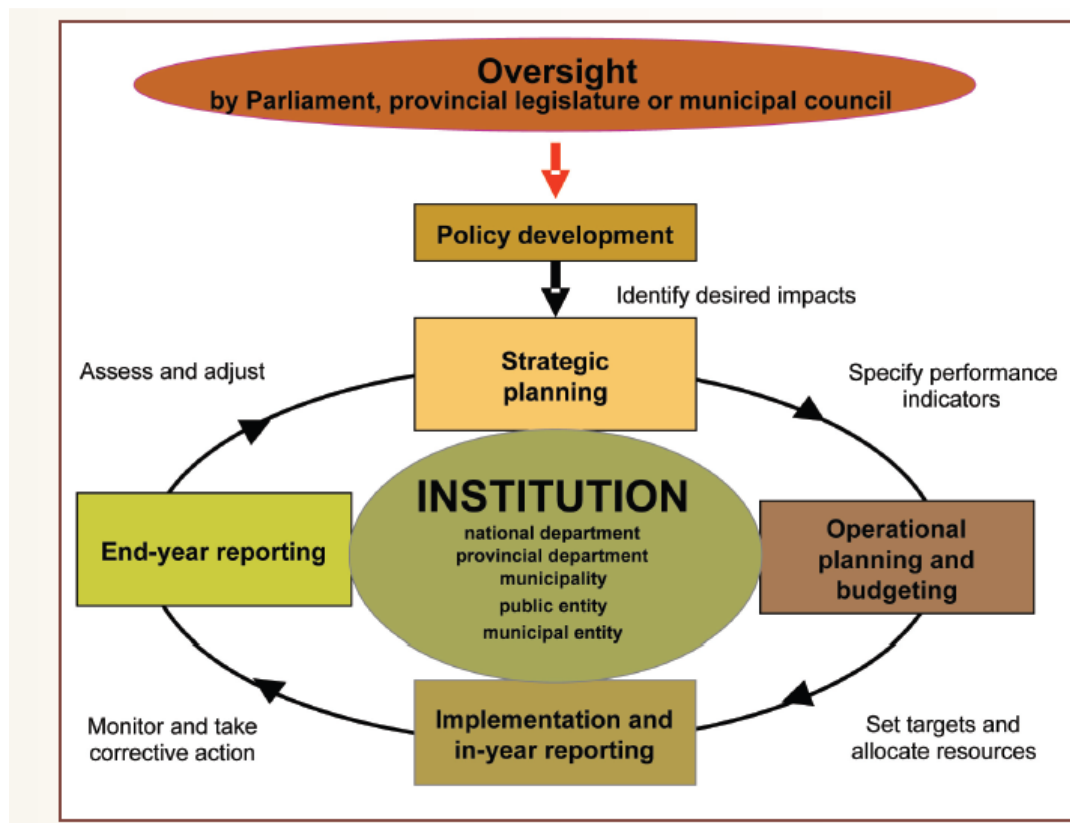
The assessment of the GWM & ES indicated that the approach taken by the framework is not only service-centric with clear M & E principles, but it focuses on laying a practical base for the decentralised systems within the various sector departments and provinces. Institutionalisation and sustainability may not as yet be observable, but the framework is pointing towards the right direction as it seems to have taken previous criticism of not being clear on the how into account. Against the backdrop of this GWM & ES, an assessment continues into the approach of the data terrains which makes up this system.

### **3.5 FRAMEWORK FOR MANAGING PROGRAMME PERFORMANCE INFORMATION**

This framework should be seen within the context of the Government-wide Monitoring and Evaluation System (GWM & ES), which consist of three components namely **programme performance information**; social, economic and democratic statistics; and evaluations as depicted in Figure 3.1 in the previous section.

The aims of the framework are four-fold in that it firstly seeks to ensure clear and high standards of performance information for auditing purposes, secondly seeks effectiveness and efficiency of structures, systems, and processes to better manage performance management, and thirdly, guides the approach to stakeholder roles and responsibility clarity, and lastly facilitates quality performance information to key decision makers like national legislatures, provincial legislature, and municipal councils as well as the public in line with accountability principles and requirements (The Presidency, 2007: 1). The framework draws its mandates from section 92 and 133 of the Constitution where provisions are made for Cabinet, provincial and municipal executives to account by providing “full and regular reports” to the relevant structures (The Presidency, 2007: 2)

Figure 3.3 below illustrate the positioning of the oversight arrangement as well as the monitoring and reporting rhythm suggested by in the framework (The Presidency 2007: 4)



**Figure 3.3: Components of the GWM & E System**

*Source: Framework for Managing Programme Performance Information, 2007: 4*

The above illustration shows the positioning of monitoring and refers to this as enabling corrective action. This is a limited approach to the monitoring function as monitoring is about more than just to take corrective action, it is also proactive in the sense that it can act as an early warning system. Monitoring by parliamentarians through the National Council of Provinces (NCOP) is already rolled-out and information on the progress of programmes informs these oversight visits of the various provinces. This framework plays a pivotal role before and after the legislative oversight visits as information from the various programmes and areas gets fed back into the system for implementation.

This executive level of oversight and monitoring also demonstrates an approach of seriousness and of taking the function and implementation of M & E to a higher level. In addition to the NCOP oversights, the African Peer Review Mechanism (APRM) also relies on programme performance information to assess progress on continental agreements regarding developments, including aspects related to information on progress towards millennium goals.

The capacity management approach of the framework is such that each institution is encouraged to source, develop and retain the necessary capacity to integrate programme performance information within their respective systems using this framework as guide. The institutional arrangements are decentralised with national and provincial treasuries playing a supportive role in the various sector departments and provinces. The executive authorities, accounting officers, line managers and other officials are responsible for the management and integration of programme performance information within existing systems (The Presidency, 2007: 13). The approach taken by the National Treasury to accountability reporting is to use accounting reporting of the various departments and provinces to update and populate their repository system (The Presidency, 2007: 16).

The need and relevance of the framework was in recognition of the fact that although current systems are in place to collect data of all sorts, a gap exists for focussing the collection and analysis of programme performance information, manage and track changes in policy and legal requirements, constitutional requirements, public sector management reforms as well as progress made in institutionalising the GWM & ES (The Presidency, 2007: 2).

This framework responds to constitutional and public management reforms, and the Government-wide Monitoring and Evaluation System (GWM & ES) performance management requirements at all three spheres of government. The focus is on the provision of programme performance information within the GWM & ES.

The illustration below demonstrates what the framework is working towards with regards to outcomes of the programme performance information.

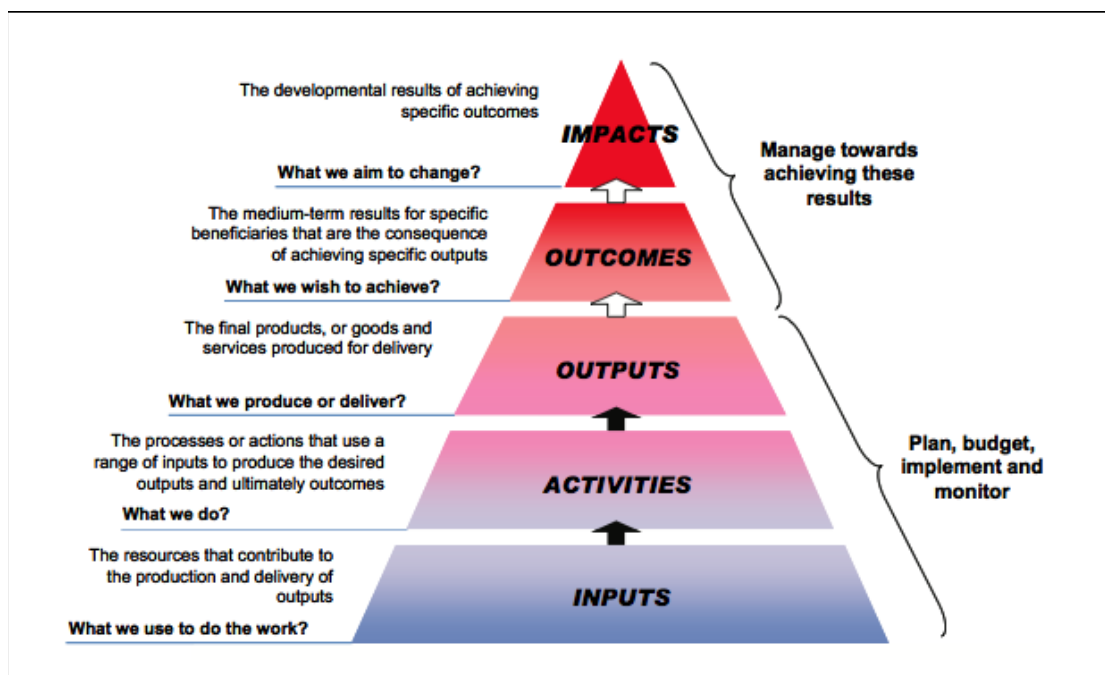


Figure 3.4: Depiction of performance information concepts and M & E indicator levels

*Source: South Africa, Outcomes Approach. 2010: 11*

The illustration above shows performance concepts as well as the levels and types of monitoring required to achieve the goals of government. The systemic pyramid may also serve as a framework of how information should be sourced, analysed and presented for simpler meaning and utilisation.

It is clear from the above analysis that the Framework for Managing Programme Performance Information plays an important role within the GWM & ES and that care seems to have been taken to guide the management and institutionalisation of it within the GWM & ES as well as within the decentralised sector and provincial systems. It would be interesting to do an assessment of how effective this framework has been thus far, using its objectives as indicators of assessment in addition to a perception survey

of the information users. The assessment of the rest of the data terrains continues in the following sections.

### 3.6 THE SOUTH AFRICAN STATISTICAL QUALITY ASSESSMENT FRAMEWORK (SASQAF) OF 2010

SASQAF is one of the three frameworks that give effect to the GWM & ES. This framework is said to be in response to the quality gap of data and information gap of national statistics. As the name suggests, the purpose this framework concerns the quality of data with respect to eight elements, namely relevance, accuracy, timeliness, accessibility, interpretability, coherence, methodological soundness and integrity (Statistics South Africa (StatsSA), 2010: 4).

It should be stated from the onset that this framework is part of the National Statistics System (NSS). As such, the SASQAF seeks to integrate all statistical arrangements across the country (Statistics South Africa (StatsSA) 2010:106). This framework therefore regards M & E system as sources achieving the purposes stated in the previous paragraph.

The implementation approach taken is to provide a table of quality indicators, standards and benchmarks to guide the production of quality statistics. A sample of this table is provided in Table 3.1 for illustration.

**Table 3.1: Quality indicators, standards and benchmarks**

| Indicator | Standards | Assessment levels          |                               |                                 |                         |
|-----------|-----------|----------------------------|-------------------------------|---------------------------------|-------------------------|
|           |           | Quality statistics level 4 | Acceptable statistics level 3 | Questionable statistics level 2 | Poor statistics level 1 |

---

*Source Statistics South Africa (StatsSA (2010)*

The above illustration serves as an example of how the framework guides the benchmarking of produced data against the pre-determined standards.

Using these eight elements as prerequisites or standards, this framework assesses the “fitness” of data planned, gathered, interpreted and disseminated, whereupon a

certification rating of 1 to 4 is given, where 1 denotes poor data and 4 adherences to the required quality of data.

Various assessments conducted, however, raise some challenges with regards to this framework. In her exploration of the South African framework for public monitoring and evaluation focussing on international best practice learning, Rabie (2010: 15) views the SASQAF as “overcomplicated and unrealistic in terms of current capacity”. Capacity is one of the elements that need to be looked at in conducting a readiness assessment for the institutionalisation of an M & E System in terms of the ten steps to designing, building and sustaining a result-based M & E system (Kusek & Rist, 2004: 39), as discussed in chapter 2.

A study conducted into evaluation capacity with a specific focus on development and institutionalisation of monitoring and evaluation systems to improve public sector management observed that:

*A problem in African countries, and perhaps in some other regions, is that while sector ministries collect a range of performance information, the quality of data is often poor. This is partly because the burden of data collection falls on over-worked officials at the facility level, who are tasked with providing the data for other officials in district offices and the capital, but who rarely receive any feedback on how the data is actually being used, if at all. This leads to another chicken-and-egg problem: data is poor partly because it isn't being used; and it is not used partly because their quality is poor. In such countries there is too much data, and not enough information. Thus, another lesson for the institutionalisation of a government M & E system is the need to build reliable ministry data systems – to help provide the raw data on which M & E systems depend (Mackay, 2006: 7–8).*

This framework guides the process for research and evaluation standards advocating international norms and standards with indicators that specify minimum standards for sampling methods, data collection methods, questionnaire design and data analytical methods (Statistics South Africa (StatsSA, 2010: 156). In line with the *Constitution*, *Batho Pele Framework* and the *Monitoring and Evaluation Principles*, a principled approach is taken in this framework with integrity forming part of the criteria which is



translated into indicators guiding policies and practices (Statistics South Africa (StatsSA 2010: 161–162).

The discussion in this section is concluded with recommendations on the best way for institutionalisation of this framework as well as to assist the institutionalisation of the culture of quality data as part of the national M & E culture. Rabie, (2004: 16) noted that a realistic and less complicated way of implementing SASQAF is to retain it as a blueprint against which evaluations are judged whilst phasing it in as part of a plan that takes into account the required capacity and other environmental realities.

### **3.7 NATIONAL EVALUATION POLICY FRAMEWORK (NEPF) OF 2011**

*The National Evaluation Policy Framework* (NEPF) is the last of the three data terrains mentioned in the previous sections. As with the other data terrains discussed in the previous sections, the legal basis for this framework is section 195 of the Constitution, where provision is made for the effective and economical use of resources to ensure a developmental, accountable and transparent public administration that regularly produce timely, accessible and accurate information (The Presidency, 2011: 1). This provides a backdrop to assessing the approach of the framework with specific focus on institutionalisation, institutional arrangements as well as capacity, which includes technical and human resources capacity.

The current evaluation problem statement is that government service delivery programme planning and budgeting lack consistency and results-based focus, resulting in ineffective, inefficient and unsustainable interventions (The Presidency, 2011: 1).

In responding to this challenge the framework aims to

- (i) link evaluation results to policy, planning, budgeting and decision making,
- (ii) champion and lead the institutionalisation of monitoring and evaluation within government,
- (iii) to increase the utilisation of evaluation findings to improve programme performance, and
- (iv) frame capacity, governance and process requirements for an effective M & E system (The Presidency, 2011:1)

The framework recognises and follows the approach of six types of evaluation, namely diagnostic evaluation, design evaluation, implementation evaluation, impact evaluation, economic evaluation and evaluation synthesis (The Presidency, 2011:9).

### **3.7.1 Evaluation approaches**

From an evaluation approach point of view, a differentiation is made between a number of evaluation approaches including empowerment evaluation, utilisation-focused evaluation, naturalistic or qualitative model, experimental and quasi-experimental, contribution analysis and theory-based evaluation by the framework (The Presidency, 2011: 27).

The NEPF acknowledges the range of evaluation approaches available and guides that appropriate methodologies should be selected and carefully considered based on the purpose of the evaluation. The differentiation is made between five purposes of evaluation namely improvement of policy, improvement of programme and project, improvement of accountability, generation of knowledge and aiding decision-making (The Presidency, 2011:7)

#### **3.7.1.1 Approach to types of evaluation**

The discussion and consideration around types and uses of evaluations are not complete without identifying the primary uses of evaluation results as it was stated earlier on that utilisation is one of the key aims of this framework. The framework views the primary users as the departmental managers who need to identify governance structures including departmental stakeholders and service delivery partners in addition to primary service recipient representatives (The Presidency, 2011: 6).

#### **3.7.1.2 Process approach**

This framework takes a pre-design and design as well as implementation approach. The pre-design and design part of the process consist of preparation, developing terms of reference, selecting service providers, data quality and availability whereas the **implementation process** consists of an inception phase, advisory/steering group, the management and support approach to process emphasises the how part of the system. Other processes are **peer review and validation** processes, **recommendation and management processes**, **communication of results** process and lastly, follow-up (The

Presidency, 2011: 14). Like all processes, this process needs to lead to somewhere to achieve the stated results. The next paragraph looks at institutionalisation.

### **3.7.1.3 Institutionalisation approach**

Positioning institutionalisation, Pishdad, Haider and Koronios (2012: 2) argued that:

*“...the literature review leads us to believe that mostly concepts related to innovation institutionalisation perspective such as institutional theory, institutional pressures and institutional change are used in political and social studies”.*

Pishdad *et al.* (2012:5) pointed out that environmental, stakeholder, cultural and structural pressures influence institutionalisation in organisations. They further differentiated between five types of institutionalisations, namely normative, rational choice, historic institutionalisation, empirical institutionalism, and constructivist institutionalisation.

For the South African government, the institutionalisation process begins with the three year and annual evaluation plans centrally developed by the DPME and approved by Cabinet in 2012/13, focussing on large strategic priority programmes. Implementation happens in a decentralised manner with roles and responsibilities shared among various service delivery partners. The framework differentiates between roles performed by the specialist functions line DPME, Treasury, DPSA, National School of Government (NSG), Auditor-General on the one hand and the service delivery functions such as the Departments of Health and Education (The Presidency 2011: 15).

In terms of the roles mentioned above, the DPME plays the champion role at national level with the Office/Department of the Premier/mayor being their provincial counter parts. The DPSA plays an important role in institutional arrangements and performance while the NSG, in partnership with the universities, plays the role of capacity builder in the institutionalisation process. The role of the PSC was already discussed as executing its constitutional mandate of providing service delivery related monitoring and evaluations, although this role seem to be partly usurped by the DPME. The Treasury provides the funding of the institutionalisation as finances is an important input in the processes, especially considering the current lack of technical and human resource skills (The Presidency, 2011: 15–16).

#### 3.7.1.4 **Management and coordination approach to M & E**

This last area of the framework involves the management of evaluation where evaluation management is approached from different perspectives, including the usage of evaluation technical working groups, implementation of the policy framework, focussing on evaluation, quality assurance and monitoring and evaluations (The Presidency, 2011: 17–19).

The assessed theory indicates that the approach taken to understand monitoring and evaluation differentiate between **monitoring**, which focusses on the programmes performance during implementation, and **evaluation**, which focusses on periodic evaluation to assess the value of an intervention at the end of a performance stage. Theory also indicated that from a results-based approach monitoring focus on implementation whereas evaluation focuses on results on the same continuum.

In line with the *Constitution*, *Batho Pele Framework* and the *SASQAF* discussed above, the NEPF's takes a principle-based approach in guiding the evaluations to be more effective and results based (The Presidency, 2011: vii).

The purpose of the NEPF is to “promote quality evaluations, which can be used for learning to improve the effectiveness and impact of government by reflecting on what works and what does not and revising interventions accordingly” (The Presidency, 2011: iii). From this purpose it seems that this framework goes a bit further than the previously discussed frameworks in that it makes mention of impact, although in a vague manner.

This policy framework differentiates between six types of evaluations, namely, diagnosis, design evaluation, implementation evaluation, impact evaluation, economic evaluation and evaluation synthesis (The Presidency, 2011: 9).

Evaluation is at an early stage in the WCED. The NEPF is being used to guide the planning and execution of evaluation at some departments with the WCG. It is early to determine the success of NEPF in guiding M&E systems institutionalisations.

A key weakness in these policy frameworks highlighted by Cloete, Rabie and De Coning, (2014), has been the lack of specificity with regards to clear implementation guidelines and accountability measures, specifically in situations where there is non-

compliance. This speaks to the incentives and disincentives mentioned by Mackay and Kusek and Rist discussed earlier in chapter two. The implementation of the GWM & ES is, however, underway and it will be interesting to learn what the levels of utilisation, participation, and capacity building will be observed in the implementation process of this system. The good thing is that government has international best practice studies as well as academics and pockets of NGOs to learn from in the journey going forward.

### 3.8 INTERNATIONAL BEST PRACTICES FOR SOUTH AFRICA

This section provides an overview of best practice lessons on M & E approaches from various international perspectives. Concluding her assessment of six international best practice approaches to M & E systems building, managing and institutionalisation, Rabie (2010: 13–14) noted the following lessons:

- Assessment of current M & E capacity of policies, strategies, leadership, culture, political posture, incentives, processes, practices and structure is paramount.
- M & E systems should be championed by leadership with credibility and political capacity to ensure reliable information and sufficient participation.
- M & E system institutionalisation is demand dependent – stakeholders must see value to sustain and increase utilisation.
- The positioning of an M & E system determines successful institutionalisation and sustainability. Institutional arrangement varied but followed a trend of positioning M & E where it was thought to have the best chance of succeeding.

Conclusions drawn from a study in government M & E systems building to support government (Mackay, 2007: 89–90) provides the following lessons:

- M & E systems benefit government in the areas of (i) policy as it relates to planning, decision making and budgeting; (ii) policy analysis and development; (iii) to support decentralised sub-systems in the various ministries and NGO's; and (iv) boosting accountability. These four uses of M & E systems are underpinned by governance.
- M & E systems successful institutionalisation is determined by high levels of **utilisation** assisted by **good quality information**, which serves as incentives for high demand and increased utilisation; and **sustainability**, which relates to

the operational continuation for the prolonged benefits of stakeholders. Mackay further noted that “good practices” of successful system institutionalisation focussing on the three elements discussed above, do exist in Chili, Colombia and Australia, although much needs to be done to ensure sustainability of these systems.

- Mackay (2007: 54) concluded from a thorough literature review that a further list of key lessons include:
  - The importance of leadership and a well networked champion
  - The importance of a current reality check including an upfront diagnosis of current systems
  - The importance of the “softer issues” such a range of incentives to drive demand
  - Ensure high quality data to encourage high utility to ensure sustainability
  - Strategic placement of the M&E system through a carefully considered approach in positioning of the M & E unit
  - Regular evaluation of the functionality of the system
  - Avoid too much too soon rather look at incremental approach to engineering of the system and
  - An assessment of capacity building focussing on both technical and soft or human abilities.

This element presupposes a certain posture of a supportive culture and willingness to innovate throughout the implementation process.

The theoretical review revealed that there are many and varied approaches to M & E. The evaluation problem or question is seen as a point of departure for M & E as this determines the purpose of evaluations. Various M & E purposes and uses exist and the choice depends on the desired organisational results. The organisational context, which includes organisational politics, leadership, management culture/people, and organisational arrangements/structure, clarity of roles and responsibility and governance, were cited as important elements of assessments for M & E readiness. It also emerged that a successful results-based M & E system relies on four primary facets namely (i) ownership or demand and utility at all levels is necessary to keep the rhythm

of the system and political champions are key in leading good everyday systems practices including quality of inputs and outputs of the system, (ii) management is the second facet guiding the planning, organising, leading, and control of resources and quality processes, (iii) maintenance is key to M & E system sustainability and perpetual beneficiation, lastly, (iv) the M & E systems need be seen as neutral to the extent that it cannot be manipulated and to enjoy the trust of all stakeholders. In addition to the assessment of mainstream theoretical perspectives, public administration service delivery approaches to monitoring were also assessed through a thorough assessment of M & E and related policy framework stances on M & E.

### **3.9 CONCLUSION**

It is apparent from the aforementioned assessment of the policy frameworks that the South African government is taking a principle-based and developmental approach to monitoring and evaluation. The policy frameworks indicate that policy fundamentals are in place to enable the GWM & ES to mature and be institutionalised. However, the theoretical assessment done in Chapter two had indicated that a successful design, management and institutionalisation of an M & E system requires more than just policy frameworks, but a number of key determinants which were discussed. The good and best practices approaches to M & E systems institutionalisation assessed indicated that although countries approach M & E systems building, management and institutionalisation differently, most if not, all of these countries (Australia, Chile and United Kingdom) embraced legislation and policy frameworks as a useful vehicles for institutionalisation (Rabie, 2010: 13). From an institutional arrangements point of view, as well as policy fundamentals, it appears that the M & E is positioned well in the Presidency and that the policy fundamentals are in place, which augurs well for institutionalisation. However, at sector departmental level, it is not clear how the optimal positioning of M & E and the decentralised systems are institutionalised.

The lessons drawn from the M&E systems implementation in countries like Australia, Canada and Chile may assist M&E systems of other countries in different ways in that institutionalisation good practices may be replicated under similar conditions.

Lessons noted from M&E systems implementation by Mackay in chapter two may assist M&E system implementation in other countries provided that each country's unique situation is taken into account (Rabie, 2010: 13).

The key themes emerging from the legislative and policy review are the following:

- **M & E processes:** Existence and extent to which policy and institutional arrangements aid **institutionalisation** (Hlatshwayo & Govender, 2015).
- **Sustainability** is the result of a successful institutionalisation process (Hlatshwayo & Govender, 2015: 93)
- The main challenge with departmental monitoring and evaluation processes is to determine whether or not adequate policy and institutional arrangements are put in place to ensure its institutionalisation.

The next chapter deals with design and methods with the theory presented in chapter two as well as the policy frameworks assessed in this chapter.

### 3.10 EMERGING THEMES

Emerging themes from literature review, policy and legislative framework's overview are as follows:

- a. Establishment arrangements of M & E systems
- b. Process arrangements in establishing M & E systems
- c. Institutionalisation arrangements of M & E

It is clear then, that the successful building, institutionalisation and sustained M & E system in the public service is influenced by an understanding of the required establishment arrangements coupled with a coherent policy-based and leadership-supported process.

The following chapter assess the required structure for building, institutionalisation and sustaining an M & E system around the three key emerging themes discussed above.



## CHAPTER 4:

# RESEARCH DESIGN AND METHODOLOGY

### 4.1 INTRODUCTION

The previous chapters reviewed theories and policy framework to identify context elements to inform the structure of this study. This chapter described the research methodology employed towards meeting the objectives stated in chapter one and informed by the theoretical and policy framework perspectives reviewed in chapter two and three. The specific purpose of this chapter is to provide an overview of research methods in general, indicate the research methods used to structure the study, and motivate the choice of study methods. The study research question was: “what is the extent of M&E system institutionalisation at the WCED?”

A distinction is made between two types of questions divided into two worlds namely, (i) a “World 1 or a real life problem”, which involves the empirical process of primary or existing data collection and the (ii) “World 2 or Non-empirical questions”, which are more scientific and abstract in nature (Babbie & Mouton, 2001: 75)

The overall research focus revolves around the extent of institutionalisation of an M & E system within the WCED. Lopez-Acevedo *et al.* (2012: 127) described studies with this type of research questions as “process-based evaluations”, which are best approached with “qualitative assessments”. They further proposed data collection and analysis methods that include interviewing programme staff, as well as recording, reviewing and analysing monitoring data. The basic process followed in this study includes problem definition, objective setting, study delineation, theoretical & policy framework reviews, empirical research followed by synthesis and conclusion.

A research proposal outlining the methodology mentioned above was prepared and submitted to the School of Public Leadership at Stellenbosch University. The researcher was allocated a supervisor who guided him in the research process. Part of the research proposal mentioned above included a preliminary literature review.

## 4.2 APPROACH

Differentiation is made between three evaluations approaches namely quantitative approach, qualitative approach and mixed-method evaluation design (Cloete, Rabie and De Coning, 2014: 142–150) This study took the qualitative approach in the main with some minor elements of quantitative approach in it.

## 4.3 OVERVIEW OF RESEARCH DESIGN

Cloete, Rabie and De Coning (2014:143) considered appropriate evaluation designs to be (i) “quantitative evaluation designs, focussing on classical experimental design and quasi-experimental evaluation”, (ii) qualitative evaluation “(non-experimental) design, including surveys, case studies, interviews or participatory action research” and lastly, (iii) mixed-method evaluation designs”. The advantages and disadvantages of these designs are discussed hereunder.

**Table 4.1: Advantages and limitations of qualitative and quantitative research**

| Qualitative research   |   |
|--|---|
| Advantages   | Disadvantages   |
| Provide detailed perspective of a few people                 | Has limited generalisability  |
| Captures the voice of participants                           | Provides only soft data (not hard data, such as numbers)                |
| Allows participants’ experience to be understood in context  | Studies few people  |
| Is based on the views of participants, not of the researcher | Is highly subjective  |
| Appeals to people’s enjoyment of stories                     | Minimises use of researcher’s expertise due to reliance on participants |
| Quantitative research  |   |
| Advantages   | Disadvantages   |
| Draws conclusions for large numbers of people                | Is impersonal, dry  |
| Analyses data efficiently                                    | Does not record the words of participants                               |
| Investigates relationships within data                       | Provides limited understanding of the context of participants           |
| Examines probable causes and effects                         | Is largely research driven  |
| Control bias   |   |
| Appeals to people’s preference for numbers                   |   |

*Source: Creswell, 2013: 5*

The two main research approaches (quantitative and qualitative) are depicted in Table 4.1 above, indicating key characteristics of each. These characteristics are important in choosing the most appropriate research design.

#### 4.4 RESEARCH DESIGN

A research design is described as a systematic plan of securing participants from whom information is extracted to respond to the posed research question (Welman & Kruger, 1999: 46). Babbie and Mouton (2001: 75) concurred when they indicated that “the research problem or question serves as the point of departure” for research designs. Differentiation is made between three research purposes namely (i) exploration, (ii) explanation and (iii) description (Babbie & Mouton, 2001: 79–81) The chosen research design needs to be able to respond to the research question appropriately.

As indicated earlier (4.1), the study’s research question revolved around **the extent of institutionalisation of an M & E system within the WCED**. Mouton (2001: 158) classified questions of this nature as descriptive questions and indicated that qualitative approaches coupled with empirical designs are suitable to be applied to programme implementation monitoring. The research question, together with the theory indicates that the appropriate research design for this research is implementation evaluation. One of the advantages of this type of design has been indicated as the fact that the implementation evaluation research focusses on assessing the extent of appropriate intervention implementation (Mouton, 2001: 159). The purpose of the study is both (i) descriptive and (ii) exploratory in that firstly, it gathers qualitative information from the relevant sources to explore the current manner in which the M & E systems are being institutionalised within WCED. Secondly, it describes the gathered data using the various theories and models, especially Kusek and Rist’s “Ten Steps to a Results-Based Monitoring and Evaluation System” as framework (Mouton, 2001: 158–166). This study is, therefore, descriptive in purpose and qualitative in nature. To give effect to this purpose this study employed mainly qualitative data gathering strategies. Data was gathered to better understand institutional elements like governance, value & principle, structural arrangements, human resources, capacity building and training and development, professional support, and intergovernmental relations. These institutional elements were discussed at length in chapter two.

#### **4.4.1 Data Gathering methods**

In-depth interviews were conducted by means of semi-structured interview research schedule to gather data. The participants in the study were purposively chosen for their knowledge of the case study environment as well as M&E. The ten participants consisted of three senior managers, five deputy directors and two assistant directors. Of the ten participants, nine are from WCED while one is from DotP. All of the selected participants were purposefully selected for their knowledge of the WCED M&E environment (Maylor and Blackmaon, 2005: 249). The staff members were chosen as they were deemed to be in a position to provide the required information to meet the objectives of the research.

Emphasising the importance of data collection to establish evidence to aid decision making, Kusek and Rist (2004: 80–81) indicated that baseline data is important as it sets the standards against which future monitoring and evaluations can be measured. De Coning (2015) agreed and highlighted validity and reliability as key considerations during the preparation and execution of data collection. Specifically, the data collection methods followed in this study included (i) document analysis which focussed on organisational publications with relevant information to the study. These documents included Strategic Plans, Annual Performance Plans as well as Policy Frameworks., (ii) qualitative literature analysis, and (iii) key informant interviews. The data gathering approach used in this study is outlined below.

##### **4.4.1.1 Sampling**

This research used purposive sampling to enable researcher to identify key informants deemed to have the most relevant and updated information required for this study. The purposive method is preferred due to the fact that it is convenient and focussed on data sources that are deemed to be knowledgeable about the research subject. (Maylor & Blackmon, 2005: 249). The ten participants consisting of three senior managers, five males, five females were chosen for their knowledge of M&E and related areas systems of within the WCED environment.

##### **4.4.1.2 Document analysis**

The document analysis included the use of documented sources such as topic appropriate textbooks, government publications, strategic documents and annual

reports. Only documents relevant to this study were analysed. The reason for conducting document analysis was to assess any documented evidence of governance, institutional and management arrangements for monitoring and evaluation (De Coning & Rabie, 2014: 250).

#### **4.4.1.3 Key informant Interviews**

Semi-structured questionnaires in the form of research schedule (Annexure D) was used to gather data from the key informants. The purpose of this interview was also meant to complement the document information that forms part of the non-empirical part of this study, as indicated in 4.4.3 above

#### **4.4.1.4 Literature analysis and legislative frameworks:**

Literature analysis and legislative frameworks included the review of current perspectives on monitoring and evaluation (Chapter 2) focussing on processes of M & E system implementation and institutionalisation. The M & E-related legislative frameworks (Chapter 3) were also assessed to understand the political and policy intent perspective. Reviewing the existing literature assisted with providing the context of M & E system institutionalisation.

#### **4.4.2 Questions**

Morra Imas and Rist (2009: 223–227) differentiated between three types of questions namely, (i) descriptive, (ii) normative and (iii) cause-and-effect. These types of questions are self-explanatory. This assessment will borrow from all three of these perspectives but lean more on the descriptive designs as the study seeks to describe the gathered data against the good/best practices frameworks proposed by authors like Kusek and Rist (2004). The questionnaire used is attached to this study.

#### **4.4.3 Data analysis**

Qualitative data analysis is described as consisting of all relevant qualitative instruments (Babbie & Mouton, 2001: 490). The qualitative data collected was analysed throughout the research process and categorised according to the themes identified from the theoretical and policy frameworks and emerging information from the data collected. The elements identified as key in institutional arrangements were used to formulate the questionnaire, and manage data collection and analysis. The document data mentioned earlier was also analysed looking for evidence indicating how existing

systems are institutionalised in relation to the theoretical best practices and policy framework requirements. As indicated earlier, Kusek and Rist's *Ten steps to a Results-Based Monitoring* also serve as model of analysis. The analysis process led to a "thick description" document presented as the end product of this research.

The data was analysed qualitatively throughout the data collection, processing, analysis and reporting phases. This study mainly followed a thematic approach as this better enabled the narrative data. Tools used for data analysis included Microsoft Excel 2013, Word 2013 and PowerPoint 2013.

#### **4.4.4 Limitation of the study**

The researcher encountered some limitations with the data gathering process in that participants who initially agreed to be part of the interviewees could not avail themselves due to staff shortage and workload commitments. The researcher overcame these limitations by ensuring that information that would have been requested from these individuals was sourced from those who could participate in the study. The other limitation was that the a very narrow window of data collection was allowed due to busy schedule of the participants as well as the school calendar priorities. This challenge was mitigated by compressing the interviewing period and by prioritising only key informants. The researcher ensured that these limitations did not compromise the objectives of the study.

The research methodology discussed in Chapter one need to be seen as part of this chapter.

The next chapter described the case study using the research objectives, emerging themes from the theoretical review, and the research design and methods as foundation.

## **CHAPTER 5:**

### **CASE STUDY RESULTS OF THE WESTERN CAPE EDUCATION DEPARTMENT (WCED)**

#### **5.1 INTRODUCTION**

This chapter of the study provides research results and a description of the WCED as the study unit, focussing on the departmental legislative mandates, strategic overview, strategic plans, institutional analysis and programme performance. The WCED strategic overview is unpacked in terms of vision, values, mission and service delivery objectives. The Departmental legislative and other relevant mandates are outlined through articulation of the various programmes within the WCED. An analysis of programme performance indicators was conducted with the view of assessing strategic implementation progress towards the prioritised short-, medium- and long-term objectives.

#### **5.2 BACKGROUND TO WCED CASE STUDY**

The Western Cape Education Department (WCED) is one of thirteen service delivery departments or programmes within the Western Cape Government (WCG). The current organisational arrangement and strategies of the WCED is a product of the restructured WCED. The year 2009 saw changes in this department, which included changes of leadership at the level of member of the executive council (MEC) of WCED as well as an appointment of the new head of department (HoD). The WCED's 2015/2016 – 2017/2018 annual Performance Plan states the departmental aim as “to provide responsive and efficient service and improvement the Department's business processes and systems” (Western Cape Education Department, 2015: 18). To attain this aim the WCED is structured in eight district offices and seventeen service points, in addition to the traditional brick and mortar structure schools scattered throughout the province. The total headcount of the department's staff current stands at 39 572. These teaching and support staff members are distributed within the nine programmes of the WCED (Western Cape Education Department, 2015: 18).

It is clear from the above that a monitoring system tracking the service delivery throughout the WCED, would be a necessity. It would be in the interest of management

to keep track of programme performance at from head office support activities right down to the district, circuit and schools. All the information flowing vertically and horizontally would need to be captured in a system that would be part of a monitoring systems as well as a source for strategic decision making data.

Some of the challenges identified and reported under the Programme 1 (Administration) in the WCED's *2009/2010 Annual Report* are:

- Insufficient integration of quality assurance and accountability within the WCED. A wide ranging system of monitoring and evaluation was put forward as a response to this challenge by the WCED, (2015: 26).
- Insufficient responsiveness and service delivery improvement exacerbated by the large size of the department. The results of a customer satisfaction survey in 2009 highlighted improvement opportunities, including streamlining of key service delivery processes.

The above analysis is of particular relevance to this study as the focus of this study was to assess the management and institutionalisation of the service delivery monitoring system within the WCED. The next section briefly discusses the relevant legislative provisions that guide the department in fulfilling its legislative functions.

### **5.3 LEGISLATIVE AND POLICY MANDATE**

The WCED's Annual Report (Western Cape Education Department, 2015: 13) outlines the legislative mandates of the department as follows:

- Constitution of the Republic of South Africa, 1996 (Act 108 of 1996)
- Constitution of the Western Cape Province, 1998 (Act 1 of 1998)
- Western Cape Provincial School Education Act, 1997 (Act 12 of 1997)
- South African Schools Act (SASA), 1996 (Act 84 of 1996)
- National Education Policy Act (NEPA), 1996 (Act 27 of 1996).

These are but a some of the relevant high level legislative acts guiding the process of service delivery for the WCED to the educational service delivery beneficiaries like: learners, educators, officials, and members of the public (Western Cape Education Department, 2015: 20). The next sub-section outlines how national and provincial legislation and policies are interpreted into departmental vision, mission, values, goals



and outcomes meant to respond to the challenges discussed in sub-section 5.2 above. These strategies also give effect to the NDP mentioned earlier in the study.

#### **5.4 STRATEGIC OVERVIEW (VISION, VALUES, MISSION AND GOALS)**

The Department's strategic plan for 2015-2019 states the WCED's vision as:

*“Creating opportunity for all through improved education outcomes”.*

The same document states the mission of WCED as “to provide quality education to all learners in the province through (i) overall planning for, and management of, the education system, (ii) education in the public ordinary schools, (iii) support to independent schools, (iv) education in public special schools, (v) early childhood development in Grade R, (vi) training opportunities for teachers, (vi) a targeted feeding programme and other poverty alleviation and safety measures, (vii) support to teachers through provision of basic conditions of service, incentives and an employee wellness programme.

The key values used by the WCED to execute strategic objectives includes, “(i) the prime importance of the learner, (ii) the values of the *South African Constitution* and the *Bill of Rights*, (iii) excellence, professionalism and dedication of teachers, (iv) accountability and transparency, and (v) integrity and excellence in administrative and support functions” (Western Cape Education Department (Western Cape Education Department) 2015/2016 – 2017/2018).

It is clear that a developmental and service-orientated theme runs through the Departmental vision, mission and value statements. This high level strategic intent is further unpacked through four specific and detailed strategic outcomes that give effect to the departmental strategic goal discussed below.

##### **5.4.1 Strategic goal and outcomes**

The WCED's strategic goal to “improve education outcomes and opportunities for youth development”, is the second of five strategic goals of the Western Cape Government. According to the WCED's *Annual Performance Plan (APP) 2015/2016–2016/2017*, this goal responds to the identified statement indicating that the Western Cape has “low levels of learner ability to read, write and calculate” (WCG, 2015: 10). The rest of the four provincial strategic goals focus on elements that include opportunities for growth, job creation, wellness, safety, sustainability, quality and

inclusivity. One of these four Provincial strategic goals is the Provincial Strategic Goal 5 (PSG 5) which is about “Good governance and integrated service delivery through partnerships and spatial alignment. PSG 5 is important in the context of this research as it is within this strategic objective that the Provincial M&E support to the various departments within the WCG is provided for. The Department of the Premier (DotP), which functions as the corporate department coordinating transversal functions of the 12 WCG departments, provides M&E and related arrangements support to all departments including the WCED. The WCED has three outcomes with which it contributes to the attainment of the strategic goal (5). These outcomes focus on governance, inclusive society and integrated management. These outcomes are relevant for the study as some of the emerging themes indicated governance and partnership/IGR as important institutional elements for an M&E system.

#### **5.4.2 The strategic outcomes**

The strategic outcomes pursued with the strategies discussed above include:

*“(i) literacy and numeracy improvement in all schools, (ii) increase in number of FET & NSC quality passes, (iii) increase in quality education provision in poorer communities, (iv) increased social and economic oriented programmes for the youth and family support of children and youth through developmental facilitation”* (Western Cape Education Department, 2015: 10).

The developmental thread identified earlier continues to show in the unpacking of the strategic focus of the WCED service delivery programme. The inclusion of the strategic overview was seen as necessary to serve as a window into the thinking behind the organisational programme, and organisational arrangement, including the organisational structures. The next section looks at the organisational arrangements including the organisational structure with the view of understanding how the strategy is supported, communicated and delineated further throughout the department.

### **5.5 STRUCTURAL ARRANGEMENTS**

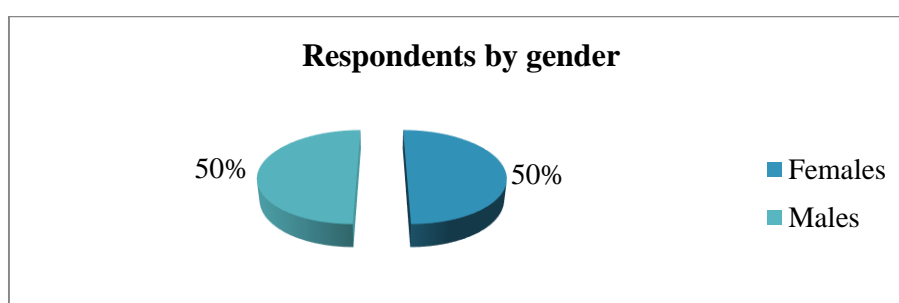
The architectural arrangement of the WCED is typical of public service entities in that it is hierarchical, formal and complex. Complexity was discussed in Chapter 2 as part of a motivation for the establishment of M & E systems as the system tracks programme performance through the various layers.

The WCED structural arrangements (**Annexure A**) consists of four layers consisting of senior managers (from top down) Head of Department (1), deputy directors-general (4), chief directors (8) and directors (31). This department is also geographically extensively decentralised throughout the Western Cape where further structures of district offices and schools are also structured according to the functions rendered.

From the attached organogram (**Annexure A**) it can be seen that M & E as function does not feature explicitly. This, however, does not mean that the M & E function is not being performed within the WCED. It was found that M & E and related functions are performed under the Education Planning Branch where the research, knowledge management, policy coordination and quality assurance directorates reside.

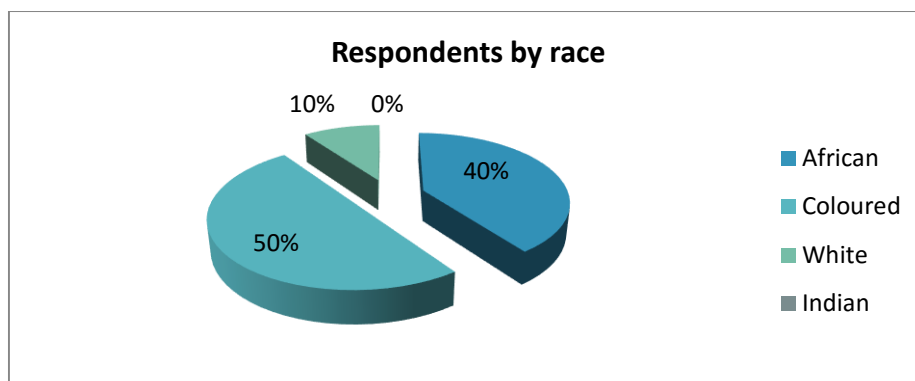
## 5.6 KEY RESULTS

This study revolved around the assessment of establishment-, process- and institutional arrangements for M & E within the WCED. The results of the methodology discussed in chapter two and three showed the qualitative data collection approach as the best approach to respond to the research objectives identified. Three key emerging themes, namely establishment of a monitoring and evaluation system, the monitoring and evaluation process and institutional arrangements for monitoring and evaluation framed the presentation of results discussed hereunder.



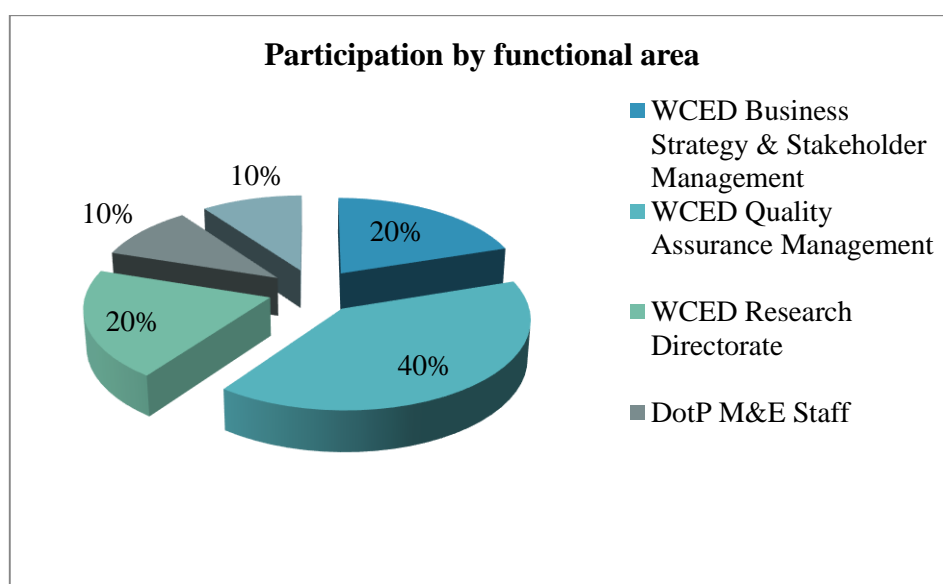
**Figure 5.1: Respondents by gender**

The gender split indicates an equal representation of females and males amongst the respondents. Of the five females interviewed four came from the WCED and one came from DotP. All five males were from the WCED. Three of the ten respondents were senior managers from the WCED. All the respondents, including the one from DotP, held managerial positions within the WCG.



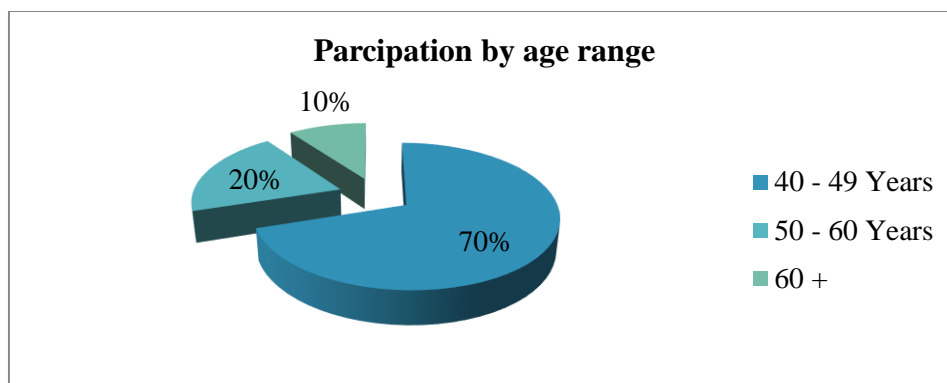
**Figure 5.2: Respondents by race**

The data in figure 5.2 indicate that most of the respondents were Coloured followed by African (Black) and one White person took part in the study.



**Figure 5.3: Participation by functional area**

The data in the above figure shows that the majority of respondents came from the quality assurance area. This directorate is the directorate that conducts whole school evaluations at district and school level. Twenty percent of the staff came from the unit within which M&E is currently being performed officially. The researcher would like to point out that all these units represented on this chart generate and disseminated information to and from the WCED in various ways. The respondents' volunteered information that indicates that WCED Business Strategy & Stakeholder unit which currently performs M&E function is to be merged with one of the directorates without being called an M&E unit.



**Figure 5.4: Participation by age range**

The above figure shows the respondents by age group. Most of the respondents are between 40 and 49 of age.

### **5.6.1 Establishment of an M & E system**

The adherence to the requirements for establishing an M & E systems was one of the elements that emerged from the literature review as an area of interest in assessing the institutionalisation of M & E systems. The assessment of M & E system institutionalisation sought to understand the extent to which the WCED considered best practice requirements in the establishment of the WCED M & E system.

The attached research schedule (**Annexure D**) was developed and used as a tool to collect the data from the selected participants. It was stated in chapter four that the participants were purposefully selected, targeting senior managers, research staff, quality assurance staff and M & E practitioners from both WCED as well as the Department of the Premier.

Qualitative data collection methods used were sourced through the following data collection methods: (i) in-depth, open-ended interviews; (ii) document analysis, in addition to the theoretical reviews and direct observations. (Kusek & Rist, 2009: 295). The response rate of respondents approached for interviews was 83% in that of the 12 people approached for interviews, 10 participated in the interviews. The rest of the people initially agreed but had to cancel due to pressing work commitments.

Document analysis showed that the WCED does have an M & E system in place. This system, called the Whole School Evaluation (WSE) system, is not unique to the WCED, but is devolved and mandated by the Department of Basic Education (DBE) to

provincial Departments of Education. These mandates and activities are necessarily based on the *National Evaluation Policy Framework* (NEPF) of 2011. It was further found that the M & E system used in WCED is aligned to other broader systems like the Government-wide M & E system and provincial monitoring and evaluation systems.

Respondents (100%) also indicated that the WCED M&E system interact with organisational planning and reporting arrangements like department strategic plans, Annual Performance Plans (APP) Quarterly Performance Reports (QPR's), Annual Reports (AR), Executive Oversight Reports and Auditor-General Reports.

It was further found that systems like the District Management Information System (DMIS) is used as a repository of all M & E related information such as WSE results and related data. This system is utilised to extract data for planning, decision making and further monitoring and evaluation of the WCED M & E programme implementation.

Respondents indicated that all plans and reports related to the system are approved by the Head of Department (HoD) who consults with the Education Member of Executive (M&E) on relevant matters. This signals a high level involvement in some aspects of the M&E system in the department.

This section presents the results of how respondents viewed the establishment of the WCED M & E system.

In explaining their understanding of M & E, the majority (70%) of the respondents provided clear outlines that related to the accepted definition of M & E and related concepts. The rest (30%) of the respondents indicated some general understanding related to their own operational areas. The respondents, who were not sufficiently well-versed with M & E as a concept, indicated that M & E does not exist within the WCED as a function. The researcher notes and points the context of this result. Given the different directorates these respondents came from it was clear to the researcher that M&E was being explained in general terms and from the perspectives of each of their respective functions i.e. the respondents from the research units would come in from that angle whereas those working on the WSE system explained from the WSE process. The respondents that provided some bird's eye view with link to strategy were those that came from WCED Business Strategy & Stakeholder Management unit and the

senior managers. What was evident to the researcher was also the seeming inability of the respondents to provide departmental view as opposed to their operation linkages to M&E. The technical aspects and processes of M&E necessary to ensure credible and accurate data was did not come up in the explanation of an M&E system. Analysis around this will be discussed further in the next chapter.

The purpose of M&E was discussed as playing an important element in the establishment of M&E system. The results to the question on the respondents' understanding of M&E was positive in that most (70%) of the respondents demonstrated some understanding of M&E albeit from their different, and to some extent text book perspective. The senior managers articulated the purpose of, and their roles in M&E better. Understandably, there were those respondents who explained the role and purpose of M&E without relating the purpose or roles to themselves as they saw M&E being performed elsewhere and not in or by their unit.

The majority (71%) of the respondents indicated that M & E is **championed** by the WCED Head of Department HoD, who is motivated by the legislation and national cooperation requirements as well as management imperatives to ensure that the WCED programme implementation performance is tracked and sufficiently informed at all times for the benefit of the WCED stakeholders. Respondents further indicated that the championing of M & E is devolved to districts levels where the various district managers identify roles of districts individuals to perform monitoring at circuit and schools level to improve performance. It was also indicated that Deputy Directors-General (DDG's) take ownership and champion monitoring and evaluation as part of their regular tasks. The respondents indicated that leadership is supportive of the M&E efforts and further pointed out that at some point the director with M&E responsibilities was reporting directly to the WCED Head of Department (HoD). There were also those respondents who were not sure about management support for M&E system. Some explained that the previous Head of Department was more hands-on in relation to the M&E and data and that they were not sure what the approach of the newly appointed incumbent would be. The implications of this result will be discussed in the next chapter.

On the question of the contribution of M&E system to the departmental goal, the results showed that all the respondents perceived M&E to have a potential of contributing to

their departmental strategic goal. Senior managers in particular indicated how the WCED programme planning and performance towards meeting their strategic goals could benefit from an M&E system.

In chapter four this study highlighted four key requirements for the establishment of an M&E system. First, strong support from top a motivated and management champion who is prepared and makes time to go the extra mile to make M&E a strategic imperative. Second, sufficient and skilled in the both the technical and soft capacities necessary to drive the M&E system. Third, consistent usage of M&E data by public servants and relevant stakeholders for programme performance and resources allocation decision making. Fourth, there should be a reasonable level of awareness to enhance the system according to environmental demands.

It is clear the WCED is not quite where it should be in relation to the requirements discussed in the foregoing paragraph but there are elements of establishment processes that are in place. Examples of these include the WSE policy framework, the District Management Information System, Quality Assurance and Research Unit.

### **5.6.2 Monitoring and evaluation process**

Elements of the ten steps to building a results-based M&E system framed the questions to gauge the respondents' perception in this area. The assessment of the state of institutional readiness has been discussed earlier and mentioned as a key requirement in the process of building an M&E system.

This question had to be reframed so that people could not be limited due to the fact that they may not have been there to witness a readiness assessment at the beginning of the system. The reframed question focussed on the whether WCED was ready now for an M&E systems institutionalisation.

Responding to the question of WCED readiness for M & E system institutionalisation, 60% of the respondents perceived the department to be ready and capable of continuing to implement M&E citing the current M&E work being done albeit under different units like research, knowledge management and others. Respondents also cited the previous HoD who championed the M&E process. Whilst those who perceived the department to be ready the rest (40%) referred to the staff and skills shortage as well as the M&E



unit that is not visible as reasons why they perceived the WCED not to be ready for the institutionalisation of M&E system.

Document analysis showed that there are elements that indicate some level of readiness within WCED. These elements include (i) policy frameworks that compels the department to participate in various regular assessments at districts, circuits and schools, (ii) Operational and strategic requirements that serves as incentives for the department to monitor programme performance and report to various including the Premier, National ministry, Auditor General, SGB's and other stakeholders.

Results on the questions around M&E role and responsibility showed that whilst (all, 100%) respondents knew which unit had the M&E roles and responsibly, there were multiple players some without knowing that they were performing M&E roles. The researcher noted that the M&E function is currently performed by more than one unit within the WCED which may indicate broader ownership of the system.

Results from the assessment of incentives showed that the policy frameworks requirements for compliance and stakeholder demand for information service as incentives for the department to have a system from which inputs, processes and produces information on the performance of the WCED.

Results on the questions regarding processes of agreement on outcomes to monitor and selection of indicators to monitor outcomes showed that WCED has got three key strategic goal outcomes which are monitored throughout the year. The monitoring process of these outcomes involves various stakeholders at national, provisional and involves all the districts. All the stakeholders in the monitoring of outcomes are consulted and are provided with the scope of planned programme outcomes upfront. It was found that the WSE systems has thirty eight indicators that need to be part of school monitoring and evaluation.

Most (80%) of the respondents, mostly senior managers, indicated that the process of agreeing on the outcomes to monitor and evaluate, the selection of key indicators to monitor outcomes, and target setting is guided by the Department of Basic Education (DBE), Provincial Strategic Goals, WCED priorities and relevant legislation. The rest, (20%) were not certain on how these processes are approached conceptually but were involved in its implementation.

On the matter of monitoring for results, document review showed that all schools are required in terms of the WSE to conduct self-monitoring and evaluation annually. This is in addition to the district monitoring that is conducted quarterly to assess programme implementation progress. All (100%) of the respondents confirmed that monitoring for results is an ongoing process on at least quarterly basis at the WCED.

On the question around the current reporting and utilisation of M & E results and findings, 60% of the respondents perceived the regular reporting to be part of the operational process within WCED. An example mentioned was the annual WCED Citizen Report that is published and distributed to all stakeholders in addition to the reporting at monthly, quarterly and annual meetings. Respondents also perceived the internal utilisation of findings as necessary to improve their processes and practices so that they are more responsive and accountable to their stakeholders. On the enquiring about their perception of findings utilisation by their stakeholders the response was that some schools and districts do not implement the recommendations and that this was a source of frustration by the WSE monitors. In this regard it is recommended that the WCED monitor the trends of non-utilisation of findings and assesses the reasons behind the schools not utilising the recommendations flowing from these findings so as to correct the situation.

When asked about their perceptions of the processes to sustain the M&E system, the respondents pointed out that (i) an M&E unit need to be in place to guide all M&E processes at “Head office and Districts”, (ii) All staff with responsibilities of assessing WCED programme planning, implementation and reporting need to be trained fully on M&E processes and practices.

The researcher notes that the WCED M&E system meets most of the process requirements for building an M&E system. As far as the readiness assessment is concerned, because it is clear whether this was done or not at the inception of the system, it is recommended that a functionality assessment is done of the elements of M&E system that are in place. From an M&E Process point of view the benefits of such an assessment will determine the extent to which the WCED M&E system processes are enabling WCED systems institutionalisation.

### **5.6.3 Institutional arrangements for M & E**

Key elements of institutionalisation of M&E in WCED are presented from the fieldwork data. Whereas the previous sections assessed the establishment and process for an M&E system, this section evaluated the extent of M&E institutionalisation by assessing the WCED institutional arrangements for M&E. These institutional elements are governance & participation, values & principles system, structural arrangements, intergovernmental arrangements, human resources management, capacity building and training & development and professional support.

#### **5.6.3.1 Governance arrangements**

Questions posed to respondents sought to assess the participative and civil society inclusive inclination as well as of the adherence to rules of engagement in the WCED M & E system.

It is clear from document review that the monitoring and evaluation of “governance and relations” is a key element of the WCED institutional arrangements. In this regard, it was demonstrated that the extent of the details of M & E governance and relationship assessment focussed into areas that include the establishment of SGBs, provision of clear strategic goals and adherence of school financial management to legal mandates.

The majority (80%) of the respondents perceived management and leadership of the WCED as being supportive of internal collaborations and interaction between internal structures from school management, district management in approaching the M & E system’s work. External participation involving the DBE, DPME and DotP was also mentioned by one senior manager as necessary not only for oversight purposes but also for the benefit of how to approach the building and sustaining of the WCED M & E system. Respondents experience part of this support where issues relating to M&E information and other performance tracking and evaluations were regularly discussed at meetings. Management also supported the system by requesting gathered data for incorporation in plans and decision making. Various arrangements are in place to ensure that the WCED adheres to the rules of engagement in that besides internal oversight arrangements within the WCED, DBE, DPME, Provincial Treasury (PT), and DotP. They also conduct monitoring to ensure adherence to statutory processes necessary for successful programme performance. On the matter of the role of the Department of the Premier (DotP) and the coordinator of the Provincial M & E, it was found that there is

a forum that meets around the Management Performance Assessment Tool (MPAT), which focusses on the assessments of a number of management practice elements including HR, Supply Chain and Employment Equity planning and management.

It was also found that governance is a key element of the Western Cape Provincial School Policy (WCG, 1997: 2). Respondents from the WCED Business Strategy & Stakeholder Management unit indicated that a symbiotic partnership exists between various role-players such as the School Governing Body (SGB) Association and WCED where the SGB's oversee and monitor governing matters within WCED. Of particular note was the WCED's role in overseeing and monitoring school governing bodies (WCED, 2016:44).

Lastly, it was found through the document review that in line with the rest of the province, the WCED pursues the establishment of structures and processes, with appropriate checks and balances to discharge responsibilities and oversee compliance. Interestingly, governance and relations as well as parents and community were mentioned as key areas of evaluation with WCED.

The researcher notes that the governance elements that are in place within WCG are a good start to contribute towards good governance (Mackay, 2007:9). WCED was found to have arrangements in place to interface with civil society bodies like the SGB's and directly with parents in the process of implementing their M&E system. This in addition to the adherence to basic governance process like releasing M&E to stakeholders demonstrates transparency and accountability to stakeholders.

#### **5.6.3.2 Values and principles system**

Responding to questions around the value system driving M & E, all the respondents indicated that the WCED assessments are underpinned by the eight Batho Pele principles and the value set of caring, service and belonging as discussed in chapter three. It was further noted that the principles underpinning the WSE policy include learner centeredness, quality of education including the quality of resources such as human resources and teaching material, openness and collaboration, consistency, staff development and training and to ensure that M&E systems do not disadvantage schools that are already disadvantaged. They further pointed to the WCG and WCED values as espoused in the various planning documents like strategic and annual plans. Document

analysis of these plans showed that learner interests, excellence, accountability, transparency and integrity are key elements of the values and principles driving the programme monitoring in the WCED. Interestingly, governance and relations as well as parents and community were mentioned as key areas of evaluation with WCED.

The document review also indicated that “excellence through the supply of, and support for, an equipped, positive and flourishing teaching cohort that is professional and dedicated” (WCD, 2016/17-2018/19) is a particular focus of the WCED value system. Lastly, the overall value and principle guide for all government work including M&E systems is the Constitution with specific attention to chapter two which deals with human rights. It was found that overall there are sufficient value basis in legislation and frameworks to guide M&E to be conducted from a values based approach within WCED.

### **5.6.3.3 Capacity Building**

It was indicated in chapter three that key purpose of the readiness assessment is to assess capacity of the M&E system for sustainability. Document analysis indicated that the WCED runs a decentralised serviced spread over 8 districts with total of 1451 schools throughout the Western Cape. This statistics signals the capacity needed to track performance of the department. It was indicated earlier that there are elements of the M&E systems in WCED. It was also established that there are policy frameworks guiding M&E systems establishment. The majority (80%) of the respondents perceived the current capacity of M&E to be insufficient. Respondents pointed out that capacity deficiency is a multiple level in that there is not enough staff to collect M&E data that needs to be collected, processed, and distributed to stakeholders. The interviews for this study were postponed twice and delayed by two weeks due to staff shortage. The participating staff had to disrupt the interview sessions to attend to work issues as each M&E official is reported to be “doing the work of at least two people”. The other level of lack of capacity found was the lack of M&E skills. Respondents reported that they have not been exposed to mainstream M&E training and development. Respondents also mentioned that they are “too busy to even attend courses”. The extent of lack of capacity to perform operational aspects of M&E were reported to be spread out to districts and schools as well. Respondents indicated that capacity to collect, process and communicate data at districts means that Head office M&E staff need to go to the

districts to do the work of the staff there as the school clerks are not capacitated to perform the basic M&E functions in support of the M&E system currently.

On the matter of training and capacity, eighty percent (80%) of the respondents indicated that there is insufficient capacity to sustain an M & E system while twenty percent said that there is enough training provided and capacity to sustain the M & E system.

The conclusion of this assessment is that the required capacity is lacking to contribute meaningfully toward the institutionalisation of the WCED M&E system. Analysis and recommendations are provided in the next two chapters.

#### **5.6.3.4 Structure**

The structural arrangement assessment sought to gauge the extent to which the various M & E data generating networks of the WCED were understood by the participants. All of the respondents said that there was no entity called the M & E unit within the WCED. The document review of the WCED organogram supported this view. However, management and some of the focus group respondents indicated that there is no unit named M & E but this does not mean an absence of an M & E system as the role of M & E is currently performed by various units within the WCED. The respondents explained that while the Directorate: Business Strategy and Stakeholder Management serves as the hub of M & E information, the Directorate: Quality Assurance manages the WSE System, and the Directorate: Research is said to be the envisaged home of an M & E unit in the future. Document analysis conducted showed the various roles and responsibilities of the national minister, provincial M & E for education, districts and schools. The current organogram revealed that all three of these directorates are part of the Chief Directorate: Business Intelligence Management, which reports directly to the WCED Head of Department. The conclusion of this part of the assessment is that a free standing and visible M&E unit represented on the WCED organogram would benefit the M&E system institutionalisation.

#### **5.6.3.5 Human resources**

The findings presented here encompass respondents' perception of the required human resources, and skills to drive the WCED M&E function optimally. The majority of staff (80%) perceived current M&E staff number to be too low for the number of district and

schools that need to be monitored and evaluated quarterly and annually. The current M&E basic operational and technical skills were perceived to be insufficient for the size and complexity of a department like WCED. Elaborating on the specific challenges around insufficient capacity, one official explained that “there are not enough people and also not enough skills” to do the work of M & E within the WCED. Other challenges mentioned revolved around too high workload of district staff charged with monitoring school performance, lack of ICT skills necessary to capture monitoring data on electronic systems, financial constraints resulting in lack of clerical staff to act as monitors. Respondents’ indicated that the total staff complement responsible for the Whole School Evaluation System is thirty five. It was also found that the level of the staff members consist of a chief director (senior management level), a deputy director (middle management level) and thirty three monitor practitioners at post level ten. The respondents further indicated that current austerity measures affect the optimal replenishment and development of human resource capacity within the WCED. It was noted that human capacity and development and training in particular is highlighted as essential for all staff, including supervisors for the monitoring and evaluation of programme performance.

## **5.7 SUMMARY**

This chapter presented a summary of results flowing from the research fieldwork conducted. The results were assessed against the objectives of research mentioned in chapter one. The assessment of the Establishment of an M&E System showed the following overall results:

Understanding of M&E concept and purpose: The respondents could reasonably explain the concept and purpose of M&E

Champion for M&E: The respondents perceived the previous HoD to have championed the M&E system well but were not certain what would happen since her retirement.

Roles & Responsibilities: The respondents could articulate their roles and responsibilities around M&E and mentioned which unite was responsible for the role of M&E. It was, however, found that various units such as the research and quality assurance unites also performed M&E functions without using term M&E for what they were doing.

Contribution of M&E system to strategic goals achievements: All the respondents displayed awareness of how M&E interfaces with strategies and plans like WCED strategic goals and APP and national planning & reporting requirements.

The overall results of the M&E Process assessment showed that most respondents perceived required process steps for the building of the WCED M&E System as having been met. None of the respondents could confirm if readiness assessment was conducted but all of them perceived the current M&E system to ready for M&E system institutionalisation.

The overall results of the assessment of institutional arrangements for M&E showed that the majority of the respondents perceived most of these arrangements (governance, value & principle, structural arrangements, human resources, capacity building and training and development, professional support, and intergovernmental relations), to be in place within WCED. The institutional arrangements that were perceived to be needing some attention were structural arrangements, human resources, capacity building and training and development.

The overall finding is that some elements of an M&E system are in place and part of this system need attention to contribute towards WCED programme implementation performance. The next chapter (six) presented summarised findings.



## **CHAPTER 6:**

### **CASE STUDY RESEARCH FINDINGS**

#### **6.1 INTRODUCTION**

The research findings of the study are presented in this chapter following the qualitative methods discussed in chapter four. The presentation of the findings were arrived at an analysis of the data that was sourced from key staff members from the WCED and DotP by means of a semi-structured in-depth interviews and content analysis of various departmental publications. The respondents were purposively selected based on their knowledge of M&E and the case study environment. The documents used in the analysis were chosen according to relevant content. The objectives of the study informed the type of literature that was used to inform the orientation of this study. The themes that emerged from the literature review and document analysis framed the questions to get to the results reported in the previous chapter.

The purpose of this research study was to conduct an assessment of the institutionalisation of M & E systems in the WCED. The results of the chapter five will be analysed to extract findings, which will be further disaggregated as conclusions and recommendations. Kusek and Rist's ten-step model is used as the main instrument to interpret the results into findings.

#### **6.2 BACKGROUND**

The participants of this study consisted of ten individuals from the WCED and Department of the Premier (DotP). The ages of the participants ranged from age forty to sixty years. The gender split was five females and five males and their average experience in the area of public service performance assessment was more than ten years. All ten participants were conversant with public service performance assessments approaches.

#### **6.3 CASE STUDY FINDINGS**

Three main themes emerged from the data

1. Establishment arrangements of M & E system
2. M & E process arrangements
3. Institutional arrangements for the establishment of M & E systems

These themes are not discreet or linear but overlap somewhat owing to the semi-structured nature of the interview questionnaire. The respondents' accounts and observations were supplemented with document review data. Care was taken to synthesise the data into logical research findings to satisfy the stated research objectives.

### **6.3.1 Theme 1: Establishment of an M&E System**

The assessment of the establishment of an M&E System showed the following overall results:

It was found that all the respondents were aware of the existing M&E system with WCED. This is positive as awareness may lead to them communicating the existence of the system wider and the more people know about the system the better. The majority of the respondents could reasonably explain the concept and purpose of M&E albeit from their respective perspectives. Naturally, the respondents working with the WSE system could explain the WSE processes and terms at length whilst those working in research did not venture into the M&E jargon but described concept and purpose in a generic way. In this regard there may be a need to re-launch M&E with all the latest elements to it as well as the expanded purpose and addition to what it may have been at the beginning. This initiative would ensure that everyone is on the same level of understanding of what M&E is with WCED. The fact that all (100%) of the respondents perceived the previous HoD to have championed the M&E system well is positive as she seems to have demonstrated support and this may serve as incentives for staff to be motivated. The HoD in question has recently retired and some respondents were concerned about continuity of the central champion. The uncertainty around who the champion will be need to be managed by the department although there seems to be an understanding that the system need to be championed at various levels in a decentralised manner given the complex structure of the department. Still the need exist for the department to create awareness of how the system will be championed centrally. The respondents could articulate their roles and responsibilities around M&E and mentioned which unit was responsible for the role of M&E. It was, however, found that various units such as the research and quality assurance unites and also performed M&E functions without using the term M&E for what they were doing. The fact that all (100%) of the respondents were clear about the M&E contribution to the departmental

strategies and plans like WCED strategic goals and APP and National planning & reporting requirements is good as this ensure collaborative efforts to achieve the departmental goal whilst strengthening the M&E system.

In summary, it is clear that from the presented data the WCED adheres to most of the requirements for the establishment of an M & E system. This is evidenced by the strong leadership and support for M & E in addition to the satisfactory understanding, by the respondents of M & E concept, meaning and purpose. Information found through document review also showed that M & E is not only referred to in the policy, strategy and planning documents, but it is also utilised to track programme implementation.

### **6.3.2 Theme 2: Process Arrangements in Establishing M & E systems**

The fact that respondents positively (60%) perceived the WCED readiness for M & E system institutionalisation bodes well for the department. The question around this process had to be rephrased to refer to the here and now given that the respondents were not there to witness or to be aware of a readiness assessment done at the inception of the system. Document analysis showed that there are elements that indicate some level of readiness within WCED. These elements include (i) policy frameworks that compels the department to participate in various regular assessments at districts, circuits and schools, (ii) Operational and strategic requirements that serves as incentives for the department to monitor programme performance and report to various including the Premier, National ministry, Auditor General, SGB's and other stakeholders.

The implication of people not being aware of the strength and weaknesses means that they may not know which elements of the process needs to be strengthened. The department has an opportunity to initiate an assessment of the functionality of the current system. This initiative will provide the WCED with fresh, relevant and up to date information on the current and future performance outlook of the M&E system.

The fact the respondents perceived the previous HoD to be a good champion for the system means that the department needs to sustain the positive perception by replicating and improving whatever that champion did in her capacity as the central champion. This initiative is important to show the district, circuit and school champions that still have the support of the central M&E system champion. Care should be taken not to personalise the role of the champion to the extent that when one champion leaves the

whole system collapses. Championing need to be a collective efforts so that the capacity to champion is developed with all for the sustainability of the system. The fact that respondents could identify their roles and responsibilities with the system is very positive for participation and collaboration as this can assist with the lack of capacity that was identified. Although these roles were described in a generic manner and from the perspectives of the respondents' operational environments which demonstrated interest in the work of other directorates. Awareness of the transversal roles and responsibilities of M&E needs to be promoted so that M&E becomes a culture with the organisation as opposed to being seen as an event.

Most (80%) of respondents perceived themselves knowledgeable about the process of agreeing on the outcomes to monitor and evaluate, the selection of key indicators to monitor outcomes, and target setting. This is reasonable given that most of these participants worked in research, quality assurance and M&E.

In terms of how programme performance is assessed and reviewed, it was found that one of the evaluation processes followed by the WCED was the Whole School Evaluation (WSE) as provided in the *Whole School Evaluation Policy Framework*. The WCED evaluation function, residing within the Research Directorate, follows a six phase process in conducting evaluation at schools. These evaluation phases are pre-evaluation surveys/visits, school self-evaluations, on-site evaluation, post-evaluation reporting, and post-evaluation support (WCED, 2002: 8). It was further found that a school improvement monitoring process is used to monitor key indicators quarterly (WCED, 2016: 41). It was found that the WCED has a total of 82 indicators.

The overall results of the M&E Process assessment showed that most respondents perceived required process steps for the building of the WCED M&E System as having been met. All the respondents were not sure if readiness assessment was conducted or not but perceived the current M&E system to be ready for institutionalisation.

### **6.3.3 Theme 3: Institutional Arrangements of M & E systems**

Key emerging elements of institutionalisation of M & E in WCED are presented from the findings.

The overall findings of the assessment of institutional arrangements for M&E showed that the majority of the respondents perceived most of these arrangements (governance,

value & principle, professional support, and intergovernmental relations), to be in place within WCED. The institutional arrangements that were perceived to be needing some attention were structural arrangements, human resources, capacity building and training and development.

The study found some evidence of policy, strategies that direct the M & E system institutionalisation within the WCED. The Whole School Evaluation (WSE) policy, for example, was found to be used in the monitoring and evaluation of the core business of programme performance right up to school level. Some of the key elements found as part of the policy were the monitoring and evaluation of improvement strategies and human capacity development. It was also noted that the WCED participates in a process that gives effect to the GWM & E system through DPME initiatives like the Management Performance Assessment Tool (MPAT) and Frontline Service Delivery Monitoring (FSDM). It was, however, found that the observed WCED M & E practices are aligned to national and provincial developmental strategies.

#### **6.3.3.1 Governance and participation**

Governance and partnerships were discussed at length in chapter two section 2.12.1. Governance was discussed as part of the how of M&E. Evidence found in the DoE and WCG documents suggests that there is a culture of planning, managing, regulating and practicing M & E within the WCED. Respondents also indicated that the WCED management leads with a values-based approach concerning policies and the process of ensuring participation of and accounting to stakeholders on the quality and transparency of M & E information.

Civil society may assist WCED in serving as a sounding board for development initiatives that are needed beyond the classroom. Respondents indicated that SGBs and NGOs collaborate with the WCED at times. It was found that the WCED and organisation like it cannot possibly accomplish their developmental objectives without the involvement of civil society. The obvious fact is that the one of the interface spaces namely the schools are based within societies. Members of civil society who may contribute to the M&E system with their grassroots knowledge of the development gaps in society. The M&E system could be more relevant and sustainable if it responded to the needs of society beyond the prescribed curriculum.

### **6.3.3.2 Values and principle system**

The findings were that values underpinned the M&E system with WCED. Various documents analysed showed that values are not only driving M&E process but are also assessed by the various WCED assessments conducted. Responding to questions around the value system driving M & E, all the respondents indicated that the WCED assessments are underpinned by the eight Batho Pele principles and the value set of caring, service and belonging as discussed earlier in this study.

It was found that the WCED specific values included elements of learner centeredness, quality of education, quality of human resources, collaboration and staff development. It was also found that the quarterly and annual assessment process of the M&E systems is guided by values and principles of ensuring that disadvantaged schools are not disadvantaged further but are supported and developed to their full potential.

Respondents also referred to the WCG and WCED values as espoused in the various planning documents like strategic and annual plans. Values like excellence, accountability, transparency and integrity are key elements of the values and principles driving the programme monitoring in the WCED. Governance and relations were also found to be values included in monitoring and evaluations within WCED.

The document review also indicated that “excellence through the supply of, and support for, an equipped, positive and flourishing teaching cohort that is professional and dedicated” (WCD, 2016/17-2018/19) is a particular focus of the WCED value system. Lastly, the overall value and principle guide for all government work including M&E systems is the Constitution with specific attention to chapter two which deals with matter including human rights. It was found that overall there are sufficient value basis in legislation and frameworks to guide M&E to be conducted from a values based approach within WCED.

It was found that the *Constitution*, learner interests, accountability and the development are key values and principles that imbue the WCED M & E approach. It is clear that the WCED values and principles form the cornerstone of their developmental programme projects.

#### **6.3.3.3 Structural arrangements**

The findings of this study are that the positioning of an overall M & E function is not visibly arranged within the WCED structure. It was noted that elements of M & E exist within some WCED directorates, however. It was also found that the existing M & E system focuses more on the core education processes than on other organisational support elements in the WCED. The fact that M & E, as a function, does not appear on the current WCED organogram may undermine the institutionalisation of M & E systems as the function needs to be visible for greater awareness to assist increased utilisation. The observed variation of perception around the M & E system of the WCED can be ascribed to the fact that the M & E system appears incoherent and not located within a common unit at this stage. It was found that the plans are in place to migrate the M&E function to the Business Intelligence Branch of the WCED. The future repositioning and redefinition of M & E within the Business Intelligence Branch may assist in addressing this situation.

#### **6.3.3.4 Intergovernmental arrangements**

Review of the WCED 2015/2017–2018/2019 APP revealed that the WCED collaborates with other spheres of government like the municipalities as well as provincial and national departments in the provision of Public Ordinary Schools Education (Western Cape Education Department, 2016: 42). It was found, during the 2016 Medium Term Expenditure Committee (MTEC) engagements, that part of the intergovernmental arrangements leveraged within the WCED are not only between the WCED and the relevant municipalities but also involve cooperation with Department of Transport and Public Works, Cultural Affairs and Sport, and the Department of Economic Development and Tourism (Western Cape Education Department, 2016: 3). It was also found that the WCED collaborates and complies with National Department of Education's M & E frameworks in addition to the GWM & ES and PWMES (WCG, 2009: 23). The theoretical review showed that government service delivery, like education, can be delivered more effectively and efficiently through intra- and intergovernmental arrangements.

#### **6.3.3.5 Human resources management**

Respondents indicated that the staff complement responsible for M & E is insufficient and that there is “a deficit of M & E-specific skills” to support and sustain the M & E system going forward. It was, however, found that various interventionist partnerships



between the Department of Basic Education (DBE), Western Cape-based universities are in place to increase and update skills levels of all the staff members, including management at school and district level.

The WCED organogram showed little evidence of a dedicated human resources team charged with the responsibility of M & E within the department. There was, however, indications that there are teams that regularly monitor core educational activities of the various districts. It was also found that the role of M & E is performed by various individuals, teams and structures. From a performance point of view, it was found that an Integrated Quality Management System (IQMS) is used for the monitoring and evaluation of educator performance within the WCED. What seems to be clear from the above is that there seems to be too few people with the requisite skills to perform M&E functions. Upskilling of the various staff members conducting M & E needs to be coordinated and expedited to support successful institutionalisation.

#### **6.3.3.6 Capacity building and training and development**

Some evidence of the three “public sector capacity” dimensions, namely human capacity, organisational capacity and institutional capacity were found to be involved in the M & E processes (The World Bank, 2005: 7).

The findings reported some shortcomings of skills and people required to perform M&E work. The fact that respondents do not recall a readiness assessment is irrelevant now as because even if readiness assessment was done at the inception of the WCED M&E system, that data would old and maybe not accurate to inform M&E system institutionalisation at that time. The respondents also perceived the WCED M&E system to be ready for institutionalisation. This perception, as good as it may appear, creates a sense of overconfidence at this early stage of M&E implementation within the department. The WCED can conduct awareness and functionality readiness initiatives so that the true state of readiness is known to all concerned. The results of this readiness assessment can be used to motivate for the required resources to strengthen the M&E system. In the short-term focus can be turned to capacity building agencies like, National School of Government, local universities and DPME. The specific areas needing attention are M&E technical skills, managerial skills, data systems, project management and performance auditing (Kusek and Rist, 2014:42).



#### **6.3.3.7 Professional support**

There was not much information forthcoming in this areas save to say that service providers are sourced as and when required to perform work that cannot be done within the Department. DotP contracts consultant to conduct evaluations within the WCED and other departments. Of the various professional support services provided to the WCED M & E process, it was found that district officials rendered a quarterly monitoring support through a system referred to as school improvement monitoring (SIM). It was also found that categorisation of schools into four categories enables supporters to use a results-based support guided by the evidential data. It was also found that all data collected via the district monitoring process is captured on the District Management Information System (DMIS).

### **6.4 CONCLUSION**

The conclusions from chapter five and six are that the findings point to evidence of some elements of M & E establishment and institutionalisation arrangements requirements. Although the other elements may benefit from further improvements, the specific development areas arrived at from the study results and findings are:

- **M & E process arrangements:** Readiness assessment data, and
- **Institutional of M & E arrangements:** Structural arrangements, human resources capacity, training and development.

The next chapter dealt with conclusions and recommendations based on the results presented in this and the previous chapter.

## **CHAPTER 7:**

### **CONCLUSION AND RECOMMENDATIONS**

#### **7.1 INTRODUCTION**

Conclusions and recommendations of the study are presented in this chapter. An assessment was made of the extent to which the objectives of the study were met. Also assessed in this chapter is the main focus of the study, which looked into the extent of institutionalisation of M & E systems within the WCED as this was the main objective of the study.

The conclusion drawn and recommendations made were framed by the key emerging themes from the theory, M & E policy and legislative review as well as the fieldwork conducted. The conclusions are drawn within the limitations and constraints of the study and the recommendations to influence possible improvement initiatives to the current establishment, M & E process and institutional arrangements of the WCED M & E system.

Three main objectives framed this study:

- Description of the establishment requirements of an M&E system in WCED
- Assessment of the process of establishing an M&E system in WCED against recommended relevant models
- Evaluation of the institutionalisation of an M&E system within the WCED
- Presentation of the results of the study and recommendations based on the findings of the study.

The research objectives were met by themes that emerged from the various data sources reported in chapter six.

#### **7.2 ESTABLISHMENT ARRANGEMENTS FOR AN M & E SYSTEM**

From the information gathered from documents and respondents of this study it is clear that the elements of a system are already established and used within WCED. It was found that some staff was not sure how the M&E system was established and some could not answer questions around the establishment of the existing systems like the Whole School Evaluation, MPAT, and FSDM. Policy Framework viewed indicate that

there are requirements for an established M&E system to track, evaluate and ensure that management of WCED is in a position to adhere to policies, manage performance and account to stakeholders.

The study concluded that National, WCG and WCED policy guidelines for the establishment of an M&E system exist. Some of the established elements of the WCED M&E system are the monitoring of academic performance of learners, schools, circuits and districts all of which depend on some form of monitoring and evaluation. WCED also participates in the DPME driven MPAT process of assessing processes that include human resources management and supply chain management. The research also concluded WCED has a process of monitoring its performance through regular management meetings, quarterly and annual reporting on programme performance in addition to providing information to various oversight bodies like Parliament and the Auditor General. Respondents were clear that the WCED's establishment process "was a work in progress" and "it was evolving". Chapter two and three indicated the establishment requirements to institutionalise and sustain an M&E system. This study can conclude that WCED does not yet meet these requirements for reasons discussed in chapter six.

The importance of this readiness assessment data is that it could provide some useful current situational data to be used as a baseline, for target setting and indicators. Elements of political, administrative and organisational capacity were rated high by the respondents. However, the respondents also indicated that there is insufficient staff complement and skills to successfully institutionalise the M & E system. It is recommended that the re-establishment of the M & E unit within the Business Intelligence Chief Directorate be done with the human resources capacity requirements to institutionalise it.

The fact that M & E does not feature at all on the WCED organisational structure may undermine institutionalisation and therefore the sustainability of the M&E system. It is recommended that the re-establishment of visible M&E unit be prioritised in the medium term and going forward. Strong support, leadership and ownership of the system within WCED is a strength, which should be leveraged to accelerate the institutionalisation of the system. The fact that the current system mainly focuses on the core-teaching of the programme, may limit the benefits the department would have

derived from an M&E system that covers the entire programme performance including strategy and administrative functions. It is recommended that the system be broadened to include the entire operation – both the core and support functions of the WCED horizontally and vertically.

### **7.3 M & E PROCESS ARRANGEMENTS**

The process of establishing the WCED system was found to be unclear. No evidence was found of a readiness assessment conducted at the inception of the WCED M & E system that focussed on incentives, roles, responsibility and capacity. This, however, does not mean an absence of an M & E system as there are various elements of M & E systems in place. To address the shortcoming discussed above, it is recommended that a back-to-basics assessment process be undertaken to identify opportunities for the current M & E system enhancement.

Essentially, the nature of the public service requires a department like the WCED to continuously conduct assessments of all sorts of which M & E system implementation is but one. The need for the WCED M & E system is driven by the need to satisfy the various M & E legislation, stakeholder expectations and the transformative developmental agenda.

In addition, it is recommended that the results of the assessment process referred to above be used as some sort of baseline or a foundation to determine the required incentives, roles, responsibility, ownership arrangements, capacity and structural arrangements for the M & E system. The assumption of this recommendation is that with a clear champion motivating and supporting the M & E system will be enhanced and institutionalised ensuring its sustainability.

The WCED has an opportunity to leverage the fact that staff understands the legislative and administrative imperatives as well as the programme performance benefit of the system to build a critical mass of champions at each and every level of the WCED hierarchy.

The gaps identified in the roles and responsibilities as well as the structural arrangements can be comprehensively addressed as the management support for M & E was rated favourably. The supportive leadership posture can further assist with the identified staff shortage mentioned during the interaction with the staff.

Combined capacity building initiatives focussed on theory and practice of M & E may be necessary once the M & E elements of the Quality Assurance Directorate and the Business Strategy and Stakeholder Management are merged into a coherent M & E unit.

Capacity building may also be necessary for the various stakeholders involved in the process followed. In agreeing on the outcomes, indicators, baseline and targets should also be used to identify possible areas of continuous improvement in the system.

A typical process of enhancing the M & E process could include the review of the current system against the various M&E establishment requirements discussed throughout the study from chapter two to six. These requirements are arranged neatly by Kusek and Rist as discussed in chapter two. Any gaps found between the desired establishment process and the current systems reality could be rectified by referring to good and best practice M&E systems design, building and institutionalisation to ensure sustainability of such systems.

Lastly, in view of the fact that the recommended readiness assessment/back-to-basics would highlight areas of improvement, the list of recommendations is limited to the key shortcomings found in the M & E process assessment in this study.

#### **7.4 INSTITUTIONAL ARRANGEMENTS FOR AN M & E SYSTEM**

From an institutional point of view, the researcher notes the various structures like the Presidency, National Treasury, StatsSA, DPSA, DPLG, PSC, NSG, AG and Provincial Premier's Offices have certain roles and responsibilities in facilitating institutionalisation of M&E systems within Government. Institutional factors, including governance and participation, values and principle system, organisational and institutional arrangements, intergovernmental arrangements and human resources formed the pillars of this study. The overall conclusion is that WCED has in place some but not all of the required elements for the M&E systems institutionalisation. Some of the areas that seems to need attention are structural arrangements coupled with role clarity and M&E skills acquisition and development. The department would benefit from a full assessment of the current M&E system to determine a baseline from which to build and sustain its M&E system going forward... Specific and details of conclusions reached from the study are discussed under each of these elements in this segment of the study.

#### **7.4.1 Values and principle system**

It is clear from the document review that the WCED operated from a principled and values based approach in their M&E processes. Document review further indicated that the learner is at the centre of what the WCED stands for. The support for the WCED M & E system seems to be coming from the departmental leadership, policies (WSE policy), and the national and provincial leadership. The WCED has an opportunity to grow this support by further accelerating the institutionalisation of the M & E system through tapping into the communities surrounding the schools for greater community ownership. It is recommended WCED clarifies and reposition M&E as a key value and principle element as well as a system to monitor and evaluate the overall value-add of the WCED.

#### **7.4.2 Governance and participation**

From a governance point of view, it is clear that the WCED conducts its M&E processes within the relevant M & E legislation and policy requirements. Evidence of leveraging partnerships and cooperation of school governing bodies (SGBs), parents and communities, as well as the DBE in the governance arrangements was noted. It is also clear that the current M & E institutional arrangements include the regular monitoring and evaluation of the extent to which governance and relationships are managed at the various schools. This is a good practice from an M & E point of view as good relationships with and involvement of stakeholders may lead to increased participation and ownership of the M&E system. It is recommended that the WCED leverage its internal (organisational) and external (institutional) communities to guide the process of repositioning the departmental M&E system going forward.

#### **7.4.3 Organisational and institutional arrangements**

The conclusion drawn as far as this element is concerned is that the current M & E system may be undermined by not being visibly located, capacitated and marketed as an independent function for the entire WCED programme's performance. With respect to the envisaged migration of the M&E function to the Directorate Research, mentioned in chapters five and six, it is recommended that efforts are made to ensure that this function is sufficiently visible and noticeable within the WCED. The M & E function is meant to provide a strategic and oversight role to the entire organisation without fear or favour, for this reason it should be clearly re-established as a separate unit headed by a director, at least, reporting directly to the WCED Head of Department. This will

ensure that decision making on key findings reaches the HoD and (s)he leverages the proximity to guide the function whilst maintaining the appropriate distance for due independence. It is recommended that theoretical, strategic, and best practice organisational structural requirements be considered in the process of locating the M & E function appropriately as this has a bearing on the successful institutionalisation and sustainability of the M & E system.

#### **7.4.4 Intergovernmental Relationship arrangements**

From an intergovernmental relationship point of view, this study concludes that there is some form of intergovernmental arrangements between the national (DoE), provincial (WCED) in the WCED M & E systems. Reference to cooperation between the various government spheres around the institutionalisation of the M & E system was made by respondents, literature reviewed and documents reviewed. It is recommended that the WCED M & E system institutionalisation be deepened by indicating how municipal ward councillors can participate in supporting the Department to popularise information sharing to and from the WCED across governmental spheres.

#### **7.4.5 Human resources management**

Perceptions of staff interviewed were that there is both shortage of M&E human resources and shortage staff M&E skills within WCED. A review of the departmental organogram also showed scant representation of M&E. It was also noted that assistance from DotP and cooperation from other departments within the social cluster could not be relied upon to alleviate the shortage of M & E staff within the WCED due to the technical nature of the WCED, among other factors. It is recommended that the current research human resources complement be supported with technical and specialist M & E human resources in the short-term. It is recommended that the claim or perception be objectively assessed. It is also recommended that the current headcount and skills are reviewed as part of the recommended repositioning of the M&E function within WCED.

#### **7.4.6 Capacity building, training and development**

In terms of capacity building and Training and Development, it is recommended that the staff review and repositioning of M&E be used to determine the specific capacity required as way of informing capacity building, and staff development. It is also

concluded that the DotP and DPME be approached to provide the required professional support and development to the WCED.

The study is concluded by saying that this is an important element of a readiness assessment. It is, therefore, recommended that a programme of continuous assessment of the current state of capacity building, training and development should be instituted to ensure good and best practice is maintained for the successful institutionalisation of M & E within the WCED. Recommended measures to address the current capacity deficits cited by respondents are that capacity and development entities like the National School of Government (NSG), regional universities, and other M & E technical experts within the province can be approached to support the institutionalisation efforts of the WCED M & E system.

#### **7.4.7 Professional support**

Nationally, SAMEA and the DPME, in cooperation with NGOs continue to provide M & E support to the South African public sector. From the study it was concluded that the Department of the Premier (DotP) is expected to provide a clear directive and support to all sector provincial departments in the implementation of the National and Provincial monitoring and evaluation system. It was also concluded that apart from the coordination of MPAT and frontline service delivery monitoring (FSDM) activities, the WCED can benefit from more focussed regular M & E support. Specifically, it is recommended that professional support be formalised and coordinated within the WCED as well as between the various relevant departments. The lead department best placed to coordinate this cooperative professional support is the Department of the Premier. Beyond the internal support arrangements, the WCED and DotP can also enlist the support of the National School of Government, the DPME and local educational institutions for mentorship support.

#### **7.4.8 Possible value of this study**

This research established that although some elements of the WCED M & E system are functioning, the full potential of the system is not derived. The institutional development and system development areas found by the research include readiness assessment data, structural arrangements, and human and technical capacity. Literature reviewed highlighted institutional readiness with specific emphasis on capacity, amongst other requirements, as essential for the building and institutionalisation of M



& E systems. This knowledge may either be used to initiate measures of enhancing the current M & E system whilst or providing stimulus to envisage current initiatives within the WCED. Finally, without overstating the generalisability of the research findings, other public service departments in the same position as the WCED may find value from the recommendations of this case study.

## **7.5 CONCLUSION**

This chapter presented conclusions and recommendations, taking into account all six previous chapters, focussing on the research results and findings presented in chapters five and six. Essentially the study assessed the institutionalisation of an M & E system within WCED using the Kusek and Rist Ten-Step model. The conclusion of the study is that the WCED has some elements of an M & E system in place. These elements are: existing M&E frameworks that are used to guide the M&E processes at district, circuit and school level, leadership that is supportive of the M&E, governance requirements that serve as incentives to ensure that the department collects processes and communicated results in collaboration with partners to all relevant stakeholders. The key areas that need attention are: establishment of a visible and M&E unit with the appropriate staff compliment that is fully trained on all aspects of monitoring and evaluation. The last element needing attention is the multifocal approach of the M&E activities to ensure that both the core and school focused activities as well as the corporate and administrative programme elements are monitored and evaluated. It is essential that M & E, as unit, is re-established, designated as such and empowered to continue the process of building and institutionalising the M & E system within this department. Finally, the research concludes that given the other establishment and institutional arrangement elements that were assessed to be in place and functional, the WCED M & E system institutionalisation has potential to be sustainable if the recommendations provided in this chapter are considered and where possible implemented.

The objectives of this study revolved around the assessment of the establishment requirements of an M&E system in WCED, the assessment of the process of establishing an M&E system in WCED as well as the assessment of the institutional requirements for institutionalisation of an M & E. These themes were explored and

discussed throughout this study culminating in the results, findings, conclusions and recommendations for possible improvement.

## REFERENCES

- Auriacombe, C.J. 2006. Understanding and planning measurement. *Journal of Public Administration*, (3.1).
- Babbie, E. and Mouton, J., 2001. *The Practice of Social Research*, Cape Town: Oxford University Press
- Batley, R. & Larbi, G. 2004. *Changing approaches to public sector management*, in Batley R. & Larbi G. *The Changing Role of Government*. New York, NY: Palgrave Macmillan. pp 31–53.
- Boyle, R. 2005. Building Effective Evaluation Capacity: Lessons from Practice. Comparative Policy Analysis Series 8.
- Brynard, P.A. & Hanekom, S.X. 1997. *Introduction to research in Public Administration and related academic disciplines*. Pretoria: Van Schaik Publishers.
- Cloete, F. 2009. Evidence-based policy analysis in South Africa: Critical assessment of the emerging government-wide monitoring and evaluation system. *Journal of Public Administration*, 44(2), 293–310.
- Cloete, F., Rabie, B. & De Coning C. 2014. *Evaluation management in South Africa and Africa: Pilot Edition*. Stellenbosch: SUNPRESS.
- Creswell, J.W. 2013. *Qualitative inquiry and research design: Choosing Among Five Approaches*. 3<sup>rd</sup> Edition. London: SAGE.
- De Coning C. 2015. Establishment and institutionalisation of monitoring and evaluation systems. Telematics lecture.
- Department of the Premier. 2009. Provincial-wide monitoring and evaluation system readiness assessment report 2009/2010. Cape Town: Government Printer.
- Department of National Treasury. 2010. Framework for Strategic Plans and Annual Performance Plans. Pretoria: Government Printer.
- DuBrin, A, J. 2010. *Principles of Leadership: International edition*. 6<sup>th</sup> Edition. Ontario. South Western Cengage Learning
- Fox, W. & Meyer, I. 1995. *Policies for Public Service Transformation*. Cape Town: Creda Press.
- Frechtling, J.A. 2007. *Logic Modelling Methods in Programme Evaluation*. San Francisco: Jossey-Bass.

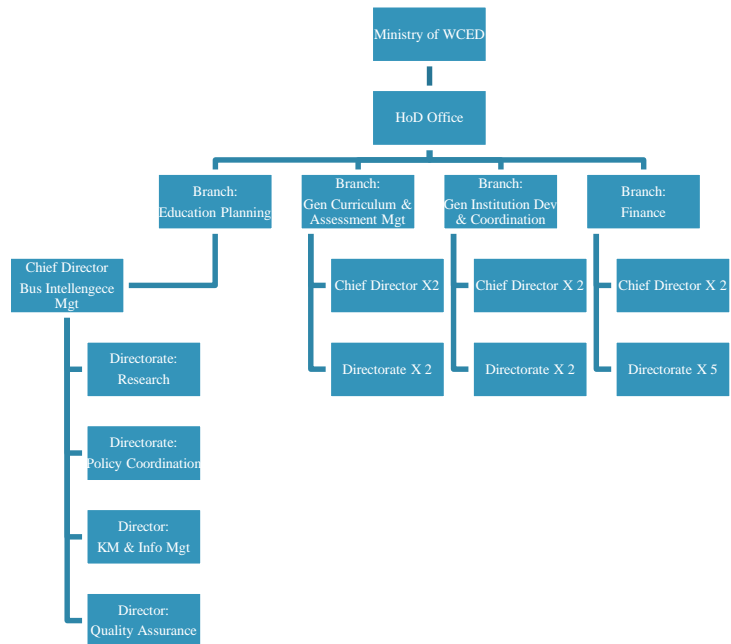
- Frederickson, H.G., Smith, K.B., Larimer, C. & Licari, M.J. 2012. *The Public Administration Theory Primer*. Philadelphia: Westview Press.
- Hamza, E. & Bardill, J. 2009. Governance for sustainable development: The role of PALAMA and higher education institutions in South Africa. *Administratio Publica*. 17(3).
- Hatry, H.P. 2006. *Key steps to design and implement M & E for individual country service agencies*. Washington: Urban Institute.
- Henning, E., Van Rensburg, W. & Smit, B. 2004. *Finding your way in qualitative research*. Pretoria: Van Schaik.
- Hlatshwayo, N.Z. & Govender, K.K. 2015. Monitoring and evaluation in the public sector: A case study of the Department of Rural Development and Land Reform in South Africa. *Asian Journal of Economics and Empirical Research*, 2(2), 91–99.
- Ijeoma, E. 2013. *South Africa's public administration in context*. Pretoria: Verity Publishers.
- Jonas, P.T. 2011. A Scorecard for monitoring and evaluation of governance of special schools in the Western Cape. PhD thesis. Stellenbosch: Faculty of Economic and Management Sciences, Stellenbosch University.
- Kotter, J.P. 1996. *Leading Change*. Boston: Harvard Business School Press.
- Kusek, J. & Rist, R. 2004. Ten steps to a results-based monitoring and evaluation system. Washington, DC: The World Bank.
- Lopez-Acevedo, G., Krause, P. & Mackay, K. 2012. *Building better policies: The nuts and bolts of monitoring and evaluation systems*. Washington, DC: World Bank.
- Mackay, K. 2006. Evaluation capacity development: Institutionalisation of monitoring and evaluation systems to improve public sector management [Online] Available:  
[http://ieg.worldbank.org/Data/reports/monitoring\\_evaluation\\_psm.pdf](http://ieg.worldbank.org/Data/reports/monitoring_evaluation_psm.pdf)  
 Accessed: 27 July 2015.
- Mackay, K. 2007. *How to build M & E systems to support better government*. Independent Evaluation Group. Washington, DC: The World Bank.
- Maylor, H. and Blackmon, K. 2005. *Researching Business and Management*. New York: Palgrave Macmillan
- Morgan, D.F. & Cook, B.J. 2014. *New Public Governance: A Regime-Centred Perspective*. New York: M. E. Sharpe.

- Morra Imas, L.G. & Rist, R.C. 2009. *The road to result: Designing and conducting effective development evaluations*. Washington, DC: The World Bank.
- Mouton, J. 2001. How to succeed in your Master's and Doctoral Studies. A South African Guide and Resource Book. Pretoria: Van Schaik.
- Mtshali, J.M. 2014. An assessment of the process and institutional requirements of monitoring and evaluation systems in government: A case study of the KwaZulu-Natal Department of Arts and Culture. Master's thesis. Stellenbosch: Stellenbosch University.
- National Planning Commission. 2011. Our future – make it work. *Executive Summary: Our Future*. Pretoria: Government Printer.
- Ngubane, M.B. 2005. An evaluation of service delivery at eNdongakusuka Local Municipality. PhD dissertation. KwaZulu-Natal: University of Zululand
- Pishdad, A., Haiderm, A. & Koronios, A. 2012. Technology and organizational evolution: An institutionalisation perspective. *Journal of Innovation & Business Best Practices*, 2012 (2012).
- Ponsignon, F., Smart, P.A. & Maull, R.S. 2007. Service delivery systems: A business process perspective. [Online] Available: <http://www.poms.org/conferences/cso2007/talks/44.pdf> Accessed: 31 July 2015.
- Public Service Commission. 2008. *Basic concepts in monitoring and evaluation*. Pretoria: Government Printers.
- Rabie, B. 2010. An exploration of South Africa's framework for public sector monitoring and evaluation: Lessons from international best practice. *Administratio Publica*, 18(1), 14–18.
- Rabie, B. 2011. Improving the systematic evaluation of local economic development results in South African local government. PhD thesis. Stellenbosch: Stellenbosch University.
- Rabie, B. & Cloete, F. 2009. A new typology of monitoring and evaluation approaches. *Administratio Publica*, 17(3).
- Republic of South Africa. Constitution of South Africa, 1996 (Act 108 of 1996). Pretoria: Government Printer.
- Republic of South Africa. Public Finance Management Act, 1999 (Act 1 of 1999). Pretoria: Government Printer.

- Republic of South Africa. 2002. Department of Education. Handbook: An introduction to Whole-School Evaluation Policy. Pretoria: Government Printer.
- Republic of South Africa. 2007. Framework for Managing Programme Performance Information. [Online] Available: <http://www.treasury.gov.za/publications/guidelines/FMPI.pdf> Accessed 27 July 2015.
- Republic of South Africa. 2010. South African statistical quality assessment framework (SASQAF). StatsSA. Pretoria: Government Printer.
- Republic of South Africa. 2011. National Evaluation Policy Framework. Pretoria: Government Printer.
- Republic of South Africa. 2016. Department of Planning, Monitoring & Evaluation. *Management Practice Assessment Tool: 2016 Management Performance Standards*. Pretoria: Government Printer.
- Republic of South Africa. Department of Public Service and Administration. 2011. Annual Human Resources Development Performance Report for the Public Service. Pretoria: Government Printer.
- Republic of South Africa. 2015. Department of Public Service and Administration. *Service Delivery Review: A learning magazine for the Public Service*, 10(3). Pretoria: Government Printer.
- Republic of South Africa. 1997. Department of Public Service and Administration. The White Paper on Transforming Public Service Delivery (Batho Pele White Paper). Pretoria: Government Printer.
- Robbins, S.P. & Barnwell, N. 2006. *Organisation Theory: Concepts and Cases*. 5<sup>th</sup> edition. New South Wales: Prentice Hall.
- Rossi, P.H., Lipsey, M.W. & Freeman, H.E. 2004. *Evaluation: A systematic Approach Seventh Edition*. Thousand Oaks: Sage Publications, Inc.
- Stoker, G. 2006. Public Value Management: A New Narrative for Networked Governance? *The American Review of Public Administration*, 26(1), 41–57.
- Stufflebeam, D.L. & Shinkfield, A.J. 2007. *Evaluation theory, models, & applications*. San Francisco, CA: Jossey-Bass.
- The International Bank for Reconstruction and Development/The World Bank. 2005. *Capacity Building in Africa: An OED Evaluation of World Bank Support*. Washington, DC: The World Bank.

- The Presidency, Republic of South Africa. 2007. *Policy framework for the government-wide monitoring and evaluation systems*. Pretoria: Shereno Printers
- The Presidency, Republic of South Africa. 2008. *The Role of Premiers' Offices in Government-wide Monitoring and Evaluation: A Good Practice guide*.
- The Presidency, Republic of South Africa. 2010. *Guide on the Outcomes Approach*. Pretoria: Government Printer.
- The Presidency, Republic of South Africa. 2013. *Framework for strengthening citizen–government partnerships for monitoring frontline service delivery*. Pretoria: Government Printer.
- United Nations Development Programme (UNDP) [Online]. 2002. Available: <http://www.thepresidency.gov.za/>. [2016, November, 25]
- W.K. Kellogg Foundation. 2004. *Logic Model Development Guide. Using Logic Models to Bring Together Planning, Evaluation, and Action*. Battle Creek, Michigan: W.K. Kellogg Foundation.
- Welman, J.C., Kruger, F. & Mitchell, B. 2005. *Research methodology*. 3<sup>rd</sup> edition. Cape Town: Oxford University Press.
- Welman, J.C. & Kruger S.J. 1999. *Research methodology for the business and administrative sciences*. Halfway House: International Thomson Publishing.
- Western Cape Education Department. 2015. *Annual Performance Plan 2015/2016 – 2017/2018*. Cape Town: Government Printer.
- Western Cape Education Department. 2015. *Strategic Plan 2015 – 2019*. Cape Town: Government Printer.
- Western Cape Education Department. 2016. *Medium term expenditure committee engagement presentation*. Cape Town: Government Printer.
- Western Cape Government. 1997. *Western Cape Provincial School Education Act No 12, 1997*. Cape Town: Government Printer.
- Yin, R. (1994). *Case study research: Design and methods*. Thousand Oaks, CA: Sage

## ANNEXURE A: MACRO-ORGANOGRAM OF WCED





## **ANNEXURE B: RESEARCH SCHEDULE**

This research study is to be conducted for the purpose of a master's degree at the University of Stellenbosch.

**Tel:** 021 4836678

**Cell:** 0829098039

**EMAIL:** [Pazuna.stofile@westerncape.gov.za](mailto:Pazuna.stofile@westerncape.gov.za)

### **TITLE:**

“A qualitative assessment of The Institutionalisation & Management of Monitoring and Evaluation Systems in the Public Service: A Case Study of the Western Cape Education Department (WCED)”

**Supervisor:** Prof Christo De Coning

Contact details: (021) 959 3825 Cell No. 082 463 7866

E-mail: [cdec.evaluation@mweb.co.za](mailto:cdec.evaluation@mweb.co.za)

## **ANNEXURE C: RESEARCH ETHICS STATEMENT**

All necessary measures were be taken to ensure that this research study comply with the ethical requirements specified by the Ethics Policy of the University of Stellenbosch. Permission to conduct the research was requested and granted from the University of Stellenbosch's School of Public Leadership (SPL) and the Western Cape Department of Education (WCED). The identified research participants were invited to partake in the study. The purpose of the study was explained to each participant as well as the reason to for choosing them to participate. All participants were assured of the importance of their participation as well as anonymity and confidentiality.

Participants were informed of their rights including the option of withdrawing from the process at any stage should they not be comfortable. Consent was be obtained from each participant before interviews were conducted.

The research schedule was used as a guide and completed by interviewer during the interviews. The entire research was be approached with the upmost sensitivity ensuring that the identity of participants is protected as names of participants were not included in any of the information recording nor did it feature in the analysis and report.

**ANNEXURE D: RESEARCH SCHEDULE****PART A: BIOGRAPHICAL INFORMATION**

|                                  |         |  |
|----------------------------------|---------|--|
| Name & Surname                   |         |  |
| Gender                           |         |  |
| Please state your age (optional) | 18 – 29 |  |
|                                  | 30 – 39 |  |
|                                  | 40 – 49 |  |
|                                  | 50 – 60 |  |
| Department                       |         |  |
| Component/Directorate            |         |  |
| Position                         |         |  |
| Rank                             |         |  |
| Contact details                  |         |  |

**PART C: M&E ESTABLISHMENT ARRANGEMENTS**

1. What policy frameworks and M&E forums are in place to guide provincial M&E processes (such as planning, implementation and meta-evaluations and lessons learnt/knowledge integration)?

|  |
|--|
|  |
|  |

2. Was there any readiness assessment conducted as part of your departmental M&E system establishment? If so what did this entail?

|  |
|--|
|  |
|  |

3. Who champions M&E in your department and what functions do they perform?

|  |
|--|
|  |
|  |

4. What was process followed to reach agreement on the outcomes to be monitored and evaluated?

|  |
|--|
|  |
|  |

5. To what extent are collaborations and partnerships involved in determining monitoring arrangements such as outcomes, indicators, baselines and targets for results monitoring?

|  |
|--|
|  |
|  |

6. To what extent are monitoring results used within the department?

|  |
|--|
|  |
|  |

7. How and when are stakeholders involved in your M&E process?

|  |
|--|
|  |
|  |

8. What is the process and platform (s) used to communicate M&E findings?

|  |
|--|
|  |
|  |

## **PART B: INSTITUTIONAL ARRANGEMENTS FOR M&E SYSTEM –**

9. Briefly state what you understand M&E to be

|  |
|--|
|  |
|  |

10. For what purpose is M&E used in your department?

|  |
|--|
|  |
|  |

11. Does your department have an M&E system? If so what does it entail?

|  |
|--|
|  |
|  |

12. Are M&E roles & responsibilities clear within your department?

|  |
|--|
|  |
|  |

13. To what extent is the M&E system contributing to the departmental goal(s)?

|  |
|--|
|  |
|  |

**PART D: M&E INSTITUTIONALISATION: MANAGEMENT PERSPECTIVE**

14. To what extent is the departmental M&E system supported by departmental management and leadership?

|  |
|--|
|  |
|  |

15. What are the key values underpinning the departmental M&E?

|  |
|--|
|  |
|  |

16. To what extent is the M&E unit positioned on the organogram to enable institutionalisation?

|  |
|--|
|  |
|  |

17. To what extent are M&E staff members trained and developed to institutionalise the M&E system effectively within the department?

|  |
|--|
|  |
|  |

18. What are the key challenges of the current M&E system and how can it be improved?

|  |
|--|
|  |
|  |

19. To whom does the departmental M&E unit head report to and how effective is this arrangement?

|  |
|--|
|  |
|  |

20. What is the number and grade level of departmental M&E unit staff?

|  |
|--|
|  |
|  |

21. What are the collaborative and intergovernmental structures in place as part of the M&E system and process

|  |
|--|
|  |
|  |

22. What is the nature of support provided by the Department of the Premier in the Provincial M&E process?

|  |
|--|
|  |
|  |

.....

.....

Signature of respondent

Date